

## University of Dundee

### Information Governance – Data Protection

#### Basis for lawful processing of personal data

The matrix below is based upon the JISC Business Classification Scheme for Higher Education Institutions (<http://bcs.jiscinfonet.ac.uk/he/default.asp>). The University has considered the activities normally undertaken by universities, noted which activities generally involve the processing of personal data and provided information on why those activities may be lawful under the provisions of the General Data Protection Regulation.

This document will be kept under review and may be updated from time to time. If you have any questions about the use of personal data within the University of Dundee, please contact [dataprotection@dundee.ac.uk](mailto:dataprotection@dundee.ac.uk).

#### Change control

| Change            | Date     | Authority                               |
|-------------------|----------|---|
| Drafting          |          | Head of Information Governance          |
| Consideration     | Q1 2018  | Data, Records and Information Committee |
| First publication | May 2018 |   |

#### Classification scheme

The classification scheme is arranged according to functions undertaken by universities, then the activities which happen in support of those functions. Functions are arranged as follows:

- |  |  |   |
|--|--|---|
| 1. TEACHING  | 20. AUDIT  | 38. INSURANCE MANAGEMENT                                    |
| 2. LEARNING SUPPORT                                | 21. LEGAL AFFAIRS MANAGEMENT   | 39. PROCUREMENT   |
| 3. RESEARCH  | 22. ORGANISATIONAL DEVELOPMENT                                       | 40. PUBLISHING  |
| 4. RESEARCH PROGRAMME PROVISION                    | 23. EQUALITY & DIVERSITY MANAGEMENT                                  | 41. MANAGEMENT INFORMATION COLLECTION, ANALYSIS & REPORTING |
| 5. INTELLECTUAL PROPERTY RIGHTS (IPR) EXPLOITATION | 24. HEALTH & SAFETY MANAGEMENT                                       | 42. PUBLIC RELATIONS MANAGEMENT                             |
| 6. CONSULTANCY                                     | 25. ENVIRONMENTAL MANAGEMENT   | 43. MEDIA RELATIONS MANAGEMENT                              |
| 7. EDUCATION & TRAINING                            | 26. ESTATE MANAGEMENT  | 44. HE/FE SECTOR RELATIONS MANAGEMENT                       |
| 8. RELATED COMPANIES MANAGEMENT                    | 27. FACILITIES MANAGEMENT  | 45. COMMUNITY RELATIONS MANAGEMENT                          |
| 9. COMMERCIAL SERVICES MANAGEMENT                  | 28. FINANCE MANAGEMENT   | 46. ALUMNI RELATIONS MANAGEMENT                             |
| 10. STUDENT ADMINISTRATION                         | 29. HUMAN RESOURCES MANAGEMENT                                       | 47. FUNDRAISING   |
| 11. ACADEMIC PROGRAMME ADMINISTRATION              | 30. INFORMATION COMPLIANCE MANAGEMENT                                | 48. STUDENT RELATIONS MANAGEMENT                            |
| 12. ACADEMIC AWARD ADMINISTRATION                  | 31. RECORDS MANAGEMENT   | 49. GOVERNMENT RELATIONS MANAGEMENT                         |
| 13. STUDENT ASSESSMENT ADMINISTRATION              | 32. ARCHIVES MANAGEMENT  | 50. PARLIAMENTARY RELATIONS MANAGEMENT                      |
| 14. TUITION FEES ADMINISTRATION                    | 33. COLLECTIONS MANAGEMENT   | 51. STUDENTS' UNION RELATIONS MANAGEMENT                    |
| 15. STUDENT FINANCIAL SUPPORT ADMINISTRATION       | 34. PUBLICATIONS MANAGEMENT  | 52. MARKETING   |
| 16. CORPORATE PLANNING & PERFORMANCE MANAGEMENT    | 35. INTELLECTUAL PROPERTY RIGHTS (IPR) MANAGEMENT                    | 53. OTHER COMMERCIAL SERVICE MANAGEMENT                     |
| 17. GOVERNANCE                                     | 36. INFORMATION & COMMUNICATIONS TECHNOLOGY (ICT) SYSTEMS MANAGEMENT | 54. OTHER CORPORATE SERVICE MANAGEMENT                      |
| 18. RISK MANAGEMENT                                | 37. EQUIPMENT & CONSUMABLES MANAGEMENT                               | 55. OTHER STUDENT SERVICE MANAGEMENT                        |
| 19. QUALITY MANAGEMENT                             |  |   |

| FUNCTION | ACTIVITY                      | SCOPE   | SCOPE INCLUDES ...   | RECORD GROUP  | REQUIRES PROCESSING OF PERSONAL DATA? | BASIS FOR LAWFUL PROCESSING (if applicable) - GDPR | REQUIRES PROCESSING OF SENSITIVE/ SPECIAL CATEGORIES OF PERSONAL DATA? | BASIS FOR LAWFUL PROCESSING (if applicable) - GDPR |
|----------|-------------------------------|---|--|---|---------------------------------------|--|--|--|
| TEACHING |                               | The function of delivering the institution's taught programmes which lead to academic awards. |  |   |                                       |  |  |  |
| TEACHING | Teaching Strategy Development | The activities involved in developing and establishing the institution's teaching strategy.   | Activities include: identifying requirements for new/revised strategy; undertaking research; developing strategy proposals; consulting on strategy proposals; reviewing and revising strategy proposals in the light of comments received; drafting strategy documents; consulting on strategy documents; reviewing draft strategy documents in the light of comments received; producing final strategy documents; submitting final strategy documents for formal endorsement; formally endorsing strategy documents; disseminating strategy documents; reviewing strategy. | Records documenting the development and establishment of the institution's teaching strategy: key records.    |                                       |  |  |  |
| TEACHING | Teaching Strategy Development | The activities involved in developing and establishing the institution's teaching strategy.   | Activities include: identifying requirements for new/revised strategy; undertaking research; developing strategy proposals; consulting on strategy proposals; reviewing and revising strategy proposals in the light of comments received; drafting strategy documents; consulting on strategy documents; reviewing draft strategy documents in the light of comments received; producing final strategy documents; submitting final strategy documents for formal endorsement; formally endorsing strategy documents; disseminating strategy documents; reviewing strategy. | Records documenting the development and establishment of the institution's teaching strategy: working papers. |                                       |  |  |  |

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|----------|--------------------------------|--|---|---|--|--|--|--|
| TEACHING | Teaching Policy Development    | The activities involved in developing and establishing the institution's policies on teaching. | Activities include: identifying requirements for new/revised policy; undertaking research; developing policy proposals; consulting on policy proposals; reviewing and revising policy proposals in the light of comments received; drafting policy documents; consulting on policy documents; reviewing draft policy documents in the light of comments received; producing final policy documents; submitting final policy documents for formal approval; formally approving policy documents; disseminating policy documents; reviewing policy. | Records documenting the development and establishment of the institution's teaching policies: key records.    |  |  |  |  |
| TEACHING | Teaching Policy Development    | The activities involved in developing and establishing the institution's policies on teaching. | Activities include: identifying requirements for new/revised policy; undertaking research; developing policy proposals; consulting on policy proposals; reviewing and revising policy proposals in the light of comments received; drafting policy documents; consulting on policy documents; reviewing draft policy documents in the light of comments received; producing final policy documents; submitting final policy documents for formal approval; formally approving policy documents; disseminating policy documents; reviewing policy. | Records documenting the development and establishment of the institution's teaching policies: working papers. |  |  |  |  |
| TEACHING | Teaching Procedure Development | The activities involved in developing the institution's procedures for teaching.               | Activities include: identifying needs for new/revised procedure; undertaking research; analysing work processes; drafting procedure documents; consulting on procedure documents; reviewing draft procedure documents in the light of comments received; trialling procedure; refining procedure as a result of trials; submitting final procedure documents for formal approval; formally approving procedure documents; disseminating   | Records documenting the development of the institution's procedures relating to teaching.                     |  |  |  |  |

|                 |   |  |   |   |                                       |   |                                     |  |
|-----------------|---|--|---|---|---------------------------------------|---|-------------------------------------|--|
|                 |   |  | procedure documents; reviewing procedure.   |   |                                       |   |                                     |  |
| <b>TEACHING</b> | Teaching Procedure Development          | The activities involved in developing the institution's procedures for teaching.             | Activities include: identifying needs for new/revised procedure; undertaking research; analysing work processes; drafting procedure documents; consulting on procedure documents; reviewing draft procedure documents in the light of comments received; trialling procedure; refining procedure as a result of trials; submitting final procedure documents for formal approval; formally approving procedure documents; disseminating procedure documents; reviewing procedure. | Master copies of procedures relating to teaching.   |                                       |   |                                     |  |
| <b>TEACHING</b> | Teaching Quality & Standards Management | The activities involved in managing the quality and standards of the institution's teaching. | Activities include: conducting internal reviews of teaching quality and standards, including peer reviews; facilitating and participating in external reviews of teaching quality and standards; collecting data on teaching quality and standards (Teaching Quality Information) as required by the Higher Education Funding bodies.   | Records documenting the development of the institution's internal quality assurance processes.                            |                                       |   |                                     |  |
| <b>TEACHING</b> | Teaching Quality & Standards Management | The activities involved in managing the quality and standards of the institution's teaching. | Activities include: conducting internal reviews of teaching quality and standards, including peer reviews; facilitating and participating in external reviews of teaching quality and standards; collecting data on teaching quality and standards (Teaching Quality Information) as required by the Higher Education Funding bodies.   | Records documenting the conduct and results of formal internal reviews of teaching quality, and responses to the results. | Yes - peer review, performance review | Article 6 S.1 (b), necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract. [Contract of employment.] | Possibly - mitigating circumstances | Article 9, S.2 (a), explicit consent<br>[Information provided by individual to University further to process and at data subject's own instigation. ].<br>Article 9, S.2 (f), processing is necessary for the establishment, exercise or defence of legal claims or whenever courts are acting in their judicial capacity; |
| <b>TEACHING</b> | Teaching Quality & Standards Management | The activities involved in managing the quality and standards of the institution's teaching. | Activities include: conducting internal reviews of teaching quality and standards, including peer reviews; facilitating and participating in external reviews of teaching quality and standards; collecting   | Records documenting the conduct and results of external reviews and audits of teaching quality and standards.             | Yes - peer review, performance review | Article 6 S.1 (b), necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract. [Contract of employment.] | Possibly - mitigating circumstances | Article 9, S.2 (a), explicit consent<br>[Information provided by individual to University further to process and at data subject's own instigation. ].<br>Article 9, S.2 (f), processing   |

|                 |                              |   |  |   |   |   |  |   |
|-----------------|------------------------------|---|--|---|---|---|--|---|
|                 |                              |   | data on teaching quality and standards (Teaching Quality Information) as required by the Higher Education Funding bodies.  |   |   |   |  | is necessary for the establishment, exercise or defence of legal claims or whenever courts are acting in their judicial capacity; |
| <b>TEACHING</b> | Taught Programme Development | The activities involved in developing the institution's taught programmes.  | Activities include: designing and developing new programmes and new modules in existing programmes; revising existing programmes and modules; withdrawing programmes or modules; obtaining and maintaining accreditation for programmes. | Records documenting the design and development of (modules of) taught programmes.   |   |   |  |   |
| <b>TEACHING</b> | Taught Programme Development | The activities involved in developing the institution's taught programmes.  | Activities include: designing and developing new programmes and new modules in existing programmes; revising existing programmes and modules; withdrawing programmes or modules; obtaining and maintaining accreditation for programmes. | Records documenting the process of obtaining approval and/or accreditation for (modules of) taught programmes from professional, statutory or other accreditation bodies. | Yes - feedback from stakeholders (eg students). | Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller.<br>[University Charter, S.3 (a) - To provide instruction in such-branches of learning as the University may think fit, whether for members of the University or for others, and to make provision for research and for the advancement and dissemination of knowledge in such a manner as the University may determine.]                               |  |   |
| <b>TEACHING</b> | Taught Programme Review      | The activities involved in reviewing the institution's taught programmes to inform ongoing programme development. | Activities include: collecting and analysing student numbers and other programme statistics; collecting, reviewing and responding to feedback on programmes from staff, students, external examiners and others.                         | Records containing data on, and analyses of, student numbers and other taught programme statistics.   | No - data considered in aggregate.              |   |  |   |
| <b>TEACHING</b> | Taught Programme Review      | The activities involved in reviewing the institution's taught programmes to inform ongoing programme development. | Activities include: collecting and analysing student numbers and other programme statistics; collecting, reviewing and responding to feedback on programmes from staff, students, external examiners and others.                         | Records documenting routine solicited feedback on taught programmes from staff and examiners: individual feedback.  | Yes   | Article 6 S.1 (b), necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract.<br>Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller.<br>[University Charter, S.3 (a) - To provide instruction in such-branches of learning as the University may think fit, whether for members of the |  |   |

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|-----------------|-------------------------|---|--|---|-----|--|--|--|
|                 |                         |   |  |   |     | University or for others, and to make provision for research and for the advancement and dissemination of knowledge in such a manner as the University may determine.]   |  |  |
| <b>TEACHING</b> | Taught Programme Review | The activities involved in reviewing the institution's taught programmes to inform ongoing programme development. | Activities include: collecting and analysing student numbers and other programme statistics; collecting, reviewing and responding to feedback on programmes from staff, students, external examiners and others. | Records documenting routine solicited feedback on taught programmes from students: individual feedback  | Yes | Article 6 S.1 (b), necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract.<br>Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller.<br>[University Charter, S.3 (a) - To provide instruction in such-branches of learning as the University may think fit, whether for members of the University or for others, and to make provision for research and for the advancement and dissemination of knowledge in such a manner as the University may determine.] |  |  |
| <b>TEACHING</b> | Taught Programme Review | The activities involved in reviewing the institution's taught programmes to inform ongoing programme development. | Activities include: collecting and analysing student numbers and other programme statistics; collecting, reviewing and responding to feedback on programmes from staff, students, external examiners and others. | Records containing (anonymised) summaries and analyses of routine solicited feedback on taught programmes from staff, examiners and students. |     |  |  |  |
| <b>TEACHING</b> | Taught Programme Review | The activities involved in reviewing the institution's taught programmes to inform ongoing programme development. | Activities include: collecting and analysing student numbers and other programme statistics; collecting, reviewing and responding to feedback on programmes from staff, students, external examiners and others. | Records containing reports of routine internal reviews of taught programmes.  |     |  |  |  |
| <b>TEACHING</b> | Taught Programme Review | The activities involved in reviewing the institution's taught programmes to                                       | Activities include: collecting and analysing student numbers and other programme statistics;   | Records documenting the conduct and results of formal independent reviews   |     |  |  |  |

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|-----------------|---------------------------|---|--|---|--|--|--|--|
|                 |                           | inform ongoing programme development.   | collecting, reviewing and responding to feedback on programmes from staff, students, external examiners and others.  | of taught programmes, and the responses to the results.                       |  |  |  |  |
| <b>TEACHING</b> | Taught Programme Delivery | The activities involved in delivering the institution's taught programmes.  | Activities include: preparing teaching and learning materials; planning and conducting teaching and learning events; providing opportunities for students to gain formative feedback on their learning (e.g. through peer assessment of presentations or completion of self-assessment tasks). | Records documenting the preparation of teaching and learning materials.       |  |  |  |  |
| <b>TEACHING</b> | Taught Programme Delivery | The activities involved in delivering the institution's taught programmes.  | Activities include: preparing teaching and learning materials; planning and conducting teaching and learning events; providing opportunities for students to gain formative feedback on their learning (e.g. through peer assessment of presentations or completion of self-assessment tasks). | Records documenting the planning and conduct of teaching and learning events. | Yes - class lists or other attendee/facilitator/tutor information. | Article 6 S.1 (b), necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract.<br>Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller.<br>[University Charter, S.3 (a) - To provide instruction in such-branches of learning as the University may think fit, whether for members of the University or for others, and to make provision for research and for the advancement and dissemination of knowledge in such a manner as the University may determine.] | Possibly - attendance lists per UKVI requirements. | Article 9 S.2 (g), necessary for reasons of substantial public interest, on the basis of Union or Member State law |
| <b>TEACHING</b> | Taught Student Assessment | The activities involved in conducting assessment to measure students' achievement of the intended learning outcomes of the institution's taught programmes. | Activities include: setting assessments; marking/grading assessments; reviewing marks/grades awarded in response to notifications of mitigating circumstances; conducting meetings of examination boards; determining awards and classifications.  | Records documenting the design and development of assessments.                |  |  |  |  |

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|----------|---------------------------|---|---|---|---------------------------|--|--|--|
| TEACHING | Taught Student Assessment | The activities involved in conducting assessment to measure students' achievement of the intended learning outcomes of the institution's taught programmes. | Activities include: setting assessments; marking/grading assessments; reviewing marks/grades awarded in response to notifications of mitigating circumstances; conducting meetings of examination boards; determining awards and classifications. | Records documenting submitted/completed assessments: formative assessments. | Yes - student information | Article 6 S.1 (b), necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract.<br>Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller.<br>[University Charter, S.3 (a) - To provide instruction in such-branches of learning as the University may think fit, whether for members of the University or for others, and to make provision for research and for the advancement and dissemination of knowledge in such a manner as the University may determine.] |  |  |
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|-------------------------|-------------------------------------|--|---|---|---|---|--|--|
| <b>TEACHING</b>         | Taught Student Assessment           | The activities involved in conducting assessment to measure students' achievement of the intended learning outcomes of the institution's taught programmes.    | Activities include: setting assessments; marking/grading assessments; reviewing marks/grades awarded in response to notifications of mitigating circumstances; conducting meetings of examination boards; determining awards and classifications.   | Records documenting marks/grades given to submitted/completed summative assessments and, where appropriate, awards and classifications. | Yes - student/graduand/graduate information | Article 6 S.1 (b), necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract.<br>Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller.<br>[University Charter, S.3 (c) - To grant, under conditions laid down in the Statutes or Ordinances, a degree, diploma, certificate or other academic award to any person who shall have pursued a course of study approved by the University and shall have passed the examinations or other tests prescribed by the University.] |  |  |
| <b>TEACHING</b>         | Taught Student Monitoring & Support | The activities involved in monitoring, reviewing and supporting students' progress and attainment on the institution's taught programmes.                      | Activities include: providing support and guidance to taught students on programme/module selection; providing academic feedback, advice and guidance to students; providing advice and guidance to students whose progress is unsatisfactory or who are considering suspending or terminating their studies. | Records documenting feedback on academic progress, and general academic guidance and support, given to individual taught students.      | Yes   | Article 6 S.1 (b), necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract.<br>Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller.<br>[University Charter, S.3 (a) - To provide instruction in such-branches of learning as the University may think fit, whether for members of the University or for others, and to make provision for research and for the advancement and dissemination of knowledge in such a manner as the University may determine.]            |  |  |
| <b>LEARNING SUPPORT</b> |                                     | The function of developing and delivering learning support resources (1) to support taught students in developing academic skills (2) and personal skills (3). |   |   |   |   |  |  |

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| LEARNING SUPPORT | Learning Support Strategy Development | The activities involved in developing the institution's learning support strategy.                     | Activities include: identifying requirements for new/revised strategy; undertaking research; developing strategy proposals; consulting on strategy proposals; reviewing and revising strategy proposals in the light of comments received; drafting strategy documents; consulting on strategy documents; reviewing draft strategy documents in the light of comments received; producing final strategy documents; submitting final strategy documents for formal endorsement; formally endorsing strategy documents; disseminating strategy documents; reviewing strategy. | Records documenting the development and establishment of the institution's learning support strategy: key records.    |  |  |  |  |
| LEARNING SUPPORT | Learning Support Strategy Development | The activities involved in developing the institution's learning support strategy.                     | Activities include: identifying requirements for new/revised strategy; undertaking research; developing strategy proposals; consulting on strategy proposals; reviewing and revising strategy proposals in the light of comments received; drafting strategy documents; consulting on strategy documents; reviewing draft strategy documents in the light of comments received; producing final strategy documents; submitting final strategy documents for formal endorsement; formally endorsing strategy documents; disseminating strategy documents; reviewing strategy. | Records documenting the development and establishment of the institution's learning support strategy: working papers. |  |  |  |  |
| LEARNING SUPPORT | Learning Support Policy Development   | The activities involved in developing and establishing the institution's policies on learning support. | Activities include: identifying requirements for new/revised policy; undertaking research; developing policy proposals; consulting on policy proposals; reviewing and revising policy proposals in the light of comments received; drafting policy documents; consulting on policy documents; reviewing draft policy documents in the light of comments received; producing final  | Records documenting the development and establishment of the institution's learning support policies: key records.    |  |  |  |  |

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|                         |  |  | policy documents; submitting final policy documents for formal approval; formally approving policy documents; disseminating policy documents; reviewing policy.   |   |  |  |  |  |
| <b>LEARNING SUPPORT</b> | Learning Support Policy Development    | The activities involved in developing and establishing the institution's policies on learning support.                       | Activities include: identifying requirements for new/revised policy; undertaking research; developing policy proposals; consulting on policy proposals; reviewing and revising policy proposals in the light of comments received; drafting policy documents; consulting on policy documents; reviewing draft policy documents in the light of comments received; producing final policy documents; submitting final policy documents for formal approval; formally approving policy documents; disseminating policy documents; reviewing policy. | Records documenting the development and establishment of the institution's learning support policies: working papers. |  |  |  |  |
| <b>LEARNING SUPPORT</b> | Learning Support Procedure Development | The activities involved in developing the institution's procedures for developing and delivering learning support resources. | Activities include: identifying needs for new/revised procedure; undertaking research; analysing work processes; drafting procedure documents; consulting on procedure documents; reviewing draft procedure documents in the light of comments received; trialling procedure; refining procedure as a result of trials; submitting final procedure documents for formal approval; formally approving procedure documents; disseminating procedure documents; reviewing procedure.   | Records documenting the development of the institution's procedures relating to learning support.                     |  |  |  |  |
| <b>LEARNING SUPPORT</b> | Learning Support Procedure Development | The activities involved in developing the institution's procedures for developing and delivering learning support resources. | Activities include: identifying needs for new/revised procedure; undertaking research; analysing work processes; drafting procedure documents; consulting on procedure documents; reviewing draft procedure documents in the light of comments received;  | Master copies of procedures relating to learning support.   |  |  |  |  |

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|                         |                                       |   | trialling procedure; refining procedure as a result of trials; submitting final procedure documents for formal approval; formally approving procedure documents; disseminating procedure documents; reviewing procedure.  |  |   |  |   |   |
| <b>LEARNING SUPPORT</b> | Learning Support Resource Development | The activities involved in developing learning support resources.                           | The activities involved will depend on the type of resource being developed.  | The types of records produced will depend on the type of resource being developed.                         |   |  |   |   |
| <b>LEARNING SUPPORT</b> | Learning Support Resource Delivery    | The activities involved in delivering learning support resources.                           | The activities involved will depend on the type of resource being provided.   | The types of records produced will depend on the type of resource being developed.                         | Yes, via Student Services, Academic Schools, Library and Learning Centre. | Article 6 S.1 (b), necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract.<br>Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller.<br>[University Charter, S.3 (a) - To provide instruction in such-branches of learning as the University may think fit, whether for members of the University or for others, and to make provision for research and for the advancement and dissemination of knowledge in such a manner as the University may determine.<br>Univeristy Charter, S.3 (p) - To institute and award fellowships, scholarships, studentships, exhibitions, bursaries, prizes and other aids to study and research.] | Yes - Counselling Services, Health Services, mitigating circumstnaces, issues of visas and immigration, Careers Services, Disability Services, Student Funding etc. | Article 9, S.2 (a), explicit consent<br>[Information provided by individual to University further to process and at data subject's own instigation. ].<br>Article 9, S.2 (h), processing is necessary for the purposes of preventive or occupational medicine, for the assessment of the working capacity of the employee, medical diagnosis, the provision of health or social care or treatment or the management of health or social care systems and services on the basis of Union or Member State law or pursuant to contract with a health professional and subject to the conditions and safeguards ... |
| <b>RESEARCH</b>         |                                       | The function of undertaking academic research.  |   |  |   |  |   |   |
| <b>RESEARCH</b>         | Research Strategy Development         | The activities involved in developing and establishing the institution's research strategy. | Activities include: identifying requirements for new/revised strategy; undertaking research; developing strategy proposals; consulting on strategy proposals; reviewing and revising strategy proposals in the light of comments received; drafting strategy documents; consulting on strategy documents; reviewing draft strategy documents in the light of comments received; | Records documenting the development and establishment of the institution's research strategy: key records. |   |  |   |   |

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|          |                               |  | producing final strategy documents; submitting final strategy documents for formal endorsement; formally endorsing strategy documents; disseminating strategy documents; reviewing strategy.   |   |  |  |  |  |
| RESEARCH | Research Strategy Development | The activities involved in developing and establishing the institution's research strategy.    | Activities include: identifying requirements for new/revised strategy; undertaking research; developing strategy proposals; consulting on strategy proposals; reviewing and revising strategy proposals in the light of comments received; drafting strategy documents; consulting on strategy documents; reviewing draft strategy documents in the light of comments received; producing final strategy documents; submitting final strategy documents for formal endorsement; formally endorsing strategy documents; disseminating strategy documents; reviewing strategy. | Records documenting the development and establishment of the institution's research strategy: working papers. |  |  |  |  |
| RESEARCH | Research Policy Development   | The activities involved in developing and establishing the institution's policies on research. | Activities include: identifying requirements for new/revised policy; undertaking research; developing policy proposals; consulting on policy proposals; reviewing and revising policy proposals in the light of comments received; drafting policy documents; consulting on policy documents; reviewing draft policy documents in the light of comments received; producing final policy documents; submitting final policy documents for formal approval; formally approving policy documents; disseminating policy documents; reviewing policy.                            | Records documenting the development and establishment of the institution's research policies: key records.    |  |  |  |  |

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|----------|--------------------------------|--|---|---|--|--|--|--|
| RESEARCH | Research Policy Development    | The activities involved in developing and establishing the institution's policies on research. | Activities include: identifying requirements for new/revised policy; undertaking research; developing policy proposals; consulting on policy proposals; reviewing and revising policy proposals in the light of comments received; drafting policy documents; consulting on policy documents; reviewing draft policy documents in the light of comments received; producing final policy documents; submitting final policy documents for formal approval; formally approving policy documents; disseminating policy documents; reviewing policy. | Records documenting the development and establishment of the institution's research policies: working papers. |  |  |  |  |
| RESEARCH | Research Procedure Development | The activities involved in developing the institution's procedures for undertaking research.   | Activities include: identifying needs for new/revised procedure; undertaking research; analysing work processes; drafting procedure documents; consulting on procedure documents; reviewing draft procedure documents in the light of comments received; trialling procedure; refining procedure as a result of trials; submitting final procedure documents for formal approval; formally approving procedure documents; disseminating procedure documents; reviewing procedure.   | Records documenting the development of the institution's procedures relating to research.                     |  |  |  |  |
| RESEARCH | Research Procedure Development | The activities involved in developing the institution's procedures for undertaking research.   | Activities include: identifying needs for new/revised procedure; undertaking research; analysing work processes; drafting procedure documents; consulting on procedure documents; reviewing draft procedure documents in the light of comments received; trialling procedure; refining procedure as a result of trials; submitting final procedure documents for formal approval; formally approving procedure documents; disseminating procedure documents; reviewing procedure.   | Master copies of procedures relating to research.   |  |  |  |  |

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|----------|---|---|--|--|---------------------------------------|---|-------------------------------------|--|
| RESEARCH | Research Quality & Standards Management | The activities involved in managing the quality and standards of research undertaken in the institution.                                | Activities include: conducting internal reviews of research quality and standards; facilitating and participating in external reviews and audits of research quality and standards.  | Records documenting the development of the institution's internal quality assurance processes.                                       |                                       |   |                                     |  |
| RESEARCH | Research Quality & Standards Management | The activities involved in managing the quality and standards of research undertaken in the institution.                                | Activities include: conducting internal reviews of research quality and standards; facilitating and participating in external reviews and audits of research quality and standards.  | Records documenting the conduct and results of formal internal reviews of research quality, and responses to the results.            | Yes - peer review, performance review | Article 6 S.1 (b), necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract. [Contract of employment.] | Possibly - mitigating circumstances | Article 9, S.2 (a), explicit consent<br>[Information provided by individual to University further to process and at data subject's own instigation.]<br>Article 9, S.2 (f), processing is necessary for the establishment, exercise or defence of legal claims or whenever courts are acting in their judicial capacity; |
| RESEARCH | Research Quality & Standards Management | The activities involved in managing the quality and standards of research undertaken in the institution.                                | Activities include: conducting internal reviews of research quality and standards; facilitating and participating in external reviews and audits of research quality and standards.  | Records documenting the conduct and results of external reviews and audits of research quality and standards.                        | Yes - peer review, performance review | Article 6 S.1 (b), necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract. [Contract of employment.] | Possibly - mitigating circumstances | Article 9, S.2 (a), explicit consent<br>[Information provided by individual to University further to process and at data subject's own instigation.]<br>Article 9, S.2 (f), processing is necessary for the establishment, exercise or defence of legal claims or whenever courts are acting in their judicial capacity; |
| RESEARCH | Research Business Development           | The activities involved in promoting the institution's research capabilities and profile, and in developing new research opportunities. | Activities include: liaising with research sponsors to monitor their research policies and objectives, and to promote the institution's research capabilities, projects and achievements; identifying and developing new research opportunities; identifying and targeting research funding opportunities; identifying and developing opportunities for collaboration and partnership to undertake research. | Records documenting liaison with research sponsors to monitor their research policies and to promote the institution's capabilities. |                                       |   |                                     |  |
| RESEARCH | Research Business Development           | The activities involved in promoting the institution's research capabilities and profile, and in developing new research opportunities. | Activities include: liaising with research sponsors to monitor their research policies and objectives, and to promote the institution's research capabilities, projects and achievements; identifying and developing new research opportunities; identifying and targeting research funding opportunities; identifying   | Records documenting the identification and exploration of new research opportunities which lead to research projects.                |                                       |   |                                     |  |

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|-----------------|-------------------------------|---|--|--|---|--|---|--|
|                 |                               |   | and developing opportunities for collaboration and partnership to undertake research.  |  |   |  |   |  |
| <b>RESEARCH</b> | Research Business Development | The activities involved in promoting the institution's research capabilities and profile, and in developing new research opportunities. | Activities include: liaising with research sponsors to monitor their research policies and objectives, and to promote the institution's research capabilities, projects and achievements; identifying and developing new research opportunities; identifying and targeting research funding opportunities; identifying and developing opportunities for collaboration and partnership to undertake research. | Records documenting the identification and exploration of new research opportunities which do not lead to research projects. |   |  |   |  |
| <b>RESEARCH</b> | Research Business Development | The activities involved in promoting the institution's research capabilities and profile, and in developing new research opportunities. | Activities include: liaising with research sponsors to monitor their research policies and objectives, and to promote the institution's research capabilities, projects and achievements; identifying and developing new research opportunities; identifying and targeting research funding opportunities; identifying and developing opportunities for collaboration and partnership to undertake research. | Records documenting the formation and management of partnerships and other collaborative arrangements to undertake research. | Potentially, depending upon the nature of the partner.  | Article 6, S.1 (a), explicit consent.<br>[Where applicable ].<br>Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller.<br>[University Charter, S.3 (a) - To provide instruction in such-branches of learning as the University may think fit, whether for members of the University or for others, and to make provision for research and for the advancement and dissemination of knowledge in such a manner as the University may determine.] |   |  |
| <b>RESEARCH</b> | Research Design & Planning    | The activities involved in designing and planning research projects.  | Activities include: generating, capturing and developing ideas for research projects; defining research aims and objectives; defining research methods; defining project roles and responsibilities; securing necessary ethical reviews and regulatory approvals; determining requirements for project resources; preparing research proposals.  | Records documenting the design and planning of research projects which are not undertaken.                                   | Potentially, depending upon the nature of the research project and participants (eg could include a pilot phase). Applicable where data not anonymised or otherwise obfuscated. | Article 6, S.1 (a), explicit consent.<br>[Where applicable ].<br>Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller.<br>[University Charter, S.3 (a) - To provide instruction in such-branches of learning as the University may think fit, whether for members of the University or for others, and to make provision for research and for the   | Potentially, depending upon the nature of the research project and participants, where data not anonymised or otherwise obfuscated. | Article 9, S.2 (a), explicit consent.<br>[Where applicable. ].<br>Article 9, S.2 (j), processing is necessary for archiving purposes in the public interest, scientific or historical research purposes or statistical purposes in accordance with Article 89(1) based on Union or Member State law which shall be proportionate to the aim pursued, respect the essence of the right to data protection and provide for suitable and specific |



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|-----------------|----------------------------|--|---|--|---|--|---|--|
|                 |                            |  |   |  |   | advancement and dissemination of knowledge in such a manner as the University may determine.]  |   | measures to safeguard the fundamental rights and the interests of the data subject.<br>[Where applicable]  |
| <b>RESEARCH</b> | Research Design & Planning | The activities involved in designing and planning research projects. | Activities include: generating, capturing and developing ideas for research projects; defining research aims and objectives; defining research methods; defining project roles and responsibilities; securing necessary ethical reviews and regulatory approvals; determining requirements for project resources; preparing research proposals. | Records documenting the design and planning of research projects which are undertaken: key records.    | Potentially, depending upon the nature of the research project and participants (eg could include a pilot phase). Applicable where data not anonymised or otherwise obfuscated. | Article 6, S.1 (a), explicit consent.<br>[Where applicable ].<br>Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller.<br>[University Charter, S.3 (a) - To provide instruction in such-branches of learning as the University may think fit, whether for members of the University or for others, and to make provision for research and for the advancement and dissemination of knowledge in such a manner as the University may determine.] | Potentially, depending upon the nature of the research project and participants, where data not anonymised or otherwise obfuscated. | Article 9, S.2 (a), explicit consent.<br>[Where applicable. ].<br>Article 9, S.2 (j), processing is necessary for archiving purposes in the public interest, scientific or historical research purposes or statistical purposes in accordance with Article 89(1) based on Union or Member State law which shall be proportionate to the aim pursued, respect the essence of the right to data protection and provide for suitable and specific measures to safeguard the fundamental rights and the interests of the data subject.<br>[Where applicable] |
| <b>RESEARCH</b> | Research Design & Planning | The activities involved in designing and planning research projects. | Activities include: generating, capturing and developing ideas for research projects; defining research aims and objectives; defining research methods; defining project roles and responsibilities; securing necessary ethical reviews and regulatory approvals; determining requirements for project resources; preparing research proposals. | Records documenting the design and planning of research projects which are undertaken: working papers. | Potentially, depending upon the nature of the research project and participants, where data not anonymised or otherwise obfuscated.   | Article 6, S.1 (a), explicit consent.<br>[Where applicable ].<br>Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller.<br>[University Charter, S.3 (a) - To provide instruction in such-branches of learning as the University may think fit, whether for members of the University or for others, and to make provision for research and for the advancement and dissemination of knowledge in such a manner as the University may determine.] | Potentially, depending upon the nature of the research project and participants, where data not anonymised or otherwise obfuscated. | Article 9, S.2 (a), explicit consent.<br>[Where applicable. ].<br>Article 9, S.2 (j), processing is necessary for archiving purposes in the public interest, scientific or historical research purposes or statistical purposes in accordance with Article 89(1) based on Union or Member State law which shall be proportionate to the aim pursued, respect the essence of the right to data protection and provide for suitable and specific measures to safeguard the fundamental rights and the interests of the data subject.<br>[Where applicable] |

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|----------|---------------------------------|--|--|---|-----|--|-----|--|
| RESEARCH | Research Funding Administration | The activities involved in obtaining and administering research funding through grants and contracts, and in co-ordinating the institution's relationships with funders. | Activities include: preparing and submitting applications for funding; negotiating (where applicable) terms and conditions of funding; accepting/declining funding awards; administering funding in accordance with award terms and conditions (claiming payments from funders, re-allocating funds within budgets etc.); administering amendments to awards (e.g. supplements, extensions, early termination); submitting reports required by funders.  | Records documenting the preparation and submission of applications for funding, where the application is unsuccessful (i.e. does not result in the offer of a funding award). |     |  |     |  |
| RESEARCH | Research Funding Administration | The activities involved in obtaining and administering research funding through grants and contracts, and in co-ordinating the institution's relationships with funders. | Activities include: preparing and submitting applications for funding; negotiating (where applicable) terms and conditions of funding; accepting/declining funding awards; administering funding in accordance with award terms and conditions (claiming payments from funders, re-allocating funds within budgets etc.); administering amendments to awards (e.g. supplements, extensions, early termination); submitting reports required by funders.  | Records documenting the preparation and submission of applications for funding, where the application is successful (i.e. results in the offer of a funding award).           |     |  |     |  |
| RESEARCH | Research Conduct                | The activities involved in conducting research.  | Activities include: developing and establishing research protocols and procedures; obtaining approval for subsequent amendments to, or deviations from, protocols and procedures; carrying out research in accordance with project protocols and procedures, and with all legal and ethical requirements; identifying and reviewing issues and risks which arise in the course of research work, and taking appropriate action; obtaining approval for modifications to the design of research; managing research data.<br><br>Depending on the discipline and on the nature of research, specific activities might also include: obtaining informed consent | Records documenting the conduct of research funded by the Medical Research Council, except where other requirements are specified (see TBC).                                  | Yes | Article 6, S.1 (a), explicit consent.<br>[Where applicable ].<br>Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller.<br>[University Charter, S.3 (a) - To provide instruction in such-branches of learning as the University may think fit, whether for members of the University or for others, and to make provision for research and for the advancement and dissemination of knowledge in such a manner as the University may determine.] | Yes | Article 9, S.2 (a), explicit consent.<br>[Where applicable. ].<br>Article 9, S.2 (j), processing is necessary for archiving purposes in the public interest, scientific or historical research purposes or statistical purposes in accordance with Article 89(1) based on Union or Member State law which shall be proportionate to the aim pursued, respect the essence of the right to data protection and provide for suitable and specific measures to safeguard the fundamental rights and the interests of the data subject.<br>[Where applicable] |

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|-----------------|------------------|---|--|---|-----|--|-----|---|
|                 |                  |   | from participants in health-related studies; reporting adverse reactions or adverse events in clinical studies; consulting beneficiaries/consumers (e.g. in applied research); conducting surveys.   |   |     |  |     |   |
| <b>RESEARCH</b> | Research Conduct | The activities involved in conducting research. | <p>Activities include: developing and establishing research protocols and procedures; obtaining approval for subsequent amendments to, or deviations from, protocols and procedures; carrying out research in accordance with project protocols and procedures, and with all legal and ethical requirements; identifying and reviewing issues and risks which arise in the course of research work, and taking appropriate action; obtaining approval for modifications to the design of research; managing research data.</p> <p>Depending on the discipline and on the nature of research, specific activities might also include: obtaining informed consent from participants in health-related studies; reporting adverse reactions or adverse events in clinical studies; consulting beneficiaries/consumers (e.g. in applied research); conducting surveys.</p> | Records documenting the conduct of clinical or public health studies funded by the Medical Research Council, except specific categories of records in studies for which consent was obtained. | Yes | <p>Article 6, S.1 (a), explicit consent.<br/>[Where applicable ].</p> <p>Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller.</p> <p>[University Charter, S.3 (a) - To provide instruction in such-branches of learning as the University may think fit, whether for members of the University or for others, and to make provision for research and for the advancement and dissemination of knowledge in such a manner as the University may determine.]</p> | Yes | <p>Article 9, S.2 (a), explicit consent.<br/>[Where applicable. ].</p> <p>Article 9, S.2 (j), processing is necessary for archiving purposes in the public interest, scientific or historical research purposes or statistical purposes in accordance with Article 89(1) based on Union or Member State law which shall be proportionate to the aim pursued, respect the essence of the right to data protection and provide for suitable and specific measures to safeguard the fundamental rights and the interests of the data subject.<br/>[Where applicable]</p> |

|          |                  |   |  |  |     |  |  |  |
|----------|------------------|---|--|--|-----|--|--|--|
| RESEARCH | Research Conduct | The activities involved in conducting research. | <p>Activities include: developing and establishing research protocols and procedures; obtaining approval for subsequent amendments to, or deviations from, protocols and procedures; carrying out research in accordance with project protocols and procedures, and with all legal and ethical requirements; identifying and reviewing issues and risks which arise in the course of research work, and taking appropriate action; obtaining approval for modifications to the design of research; managing research data.</p> <p>Depending on the discipline and on the nature of research, specific activities might also include: obtaining informed consent from participants in health-related studies; reporting adverse reactions or adverse events in clinical studies; consulting beneficiaries/consumers (e.g. in applied research); conducting surveys.</p> | Records documenting the protocol, the consent procedure, the participants and adverse effects in <u>all</u> studies (for which consent was obtained) funded by the Medical Research Council. | Yes | Article 6, S.1 (a), explicit consent.<br>[Where applicable ].<br>Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller.<br>[University Charter, S.3 (a) - To provide instruction in such-branches of learning as the University may think fit, whether for members of the University or for others, and to make provision for research and for the advancement and dissemination of knowledge in such a manner as the University may determine.] | Yes  | Article 9, S.2 (a), explicit consent.<br>[Where applicable. ].<br>Article 9, S.2 (j), processing is necessary for archiving purposes in the public interest, scientific or historical research purposes or statistical purposes in accordance with Article 89(1) based on Union or Member State law which shall be proportionate to the aim pursued, respect the essence of the right to data protection and provide for suitable and specific measures to safeguard the fundamental rights and the interests of the data subject.<br>[Where applicable] |
| RESEARCH | Research Conduct | The activities involved in conducting research. | <p>Activities include: developing and establishing research protocols and procedures; obtaining approval for subsequent amendments to, or deviations from, protocols and procedures; carrying out research in accordance with project protocols and procedures, and with all legal and ethical requirements; identifying and reviewing issues and risks which arise in the course of research work, and taking appropriate action; obtaining approval for modifications to the design of research; managing research data.</p> <p>Depending on the discipline and on the nature of research, specific activities might also include: obtaining informed consent from participants in health-</p>   | Records documenting the conduct of all other research funded by all other organisations.   | Yes | Article 6, S.1 (a), explicit consent.<br>[Where applicable ].<br>Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller.<br>[University Charter, S.3 (a) - To provide instruction in such-branches of learning as the University may think fit, whether for members of the University or for others, and to make provision for research and for the advancement and dissemination of knowledge in such a manner as the University may determine.] | Potentially, depending upon the nature of the research project and participants. | Article 9, S.2 (a), explicit consent.<br>[Where applicable. ].<br>Article 9, S.2 (j), processing is necessary for archiving purposes in the public interest, scientific or historical research purposes or statistical purposes in accordance with Article 89(1) based on Union or Member State law which shall be proportionate to the aim pursued, respect the essence of the right to data protection and provide for suitable and specific measures to safeguard the fundamental rights and the interests of the data subject.<br>[Where applicable] |

|                 |                    |  |  |  |   |  |   |  |
|-----------------|--------------------|--|--|--|---|--|---|--|
|                 |                    |  | related studies; reporting adverse reactions or adverse events in clinical studies; consulting beneficiaries/consumers (e.g. in applied research); conducting surveys. |  |   |  |   |  |
| <b>RESEARCH</b> | Research Reporting | The activities involved in disseminating research results. | Activities include: publishing research results; presenting research results at technical meetings.  | Working papers for the preparation of publications, audio-visual presentations etc. to disseminate research results (NOT interim or final research reports). | Potentially, depending upon the nature of the research project and participants, where data not anonymised or otherwise obfuscated. | Article 6, S.1 (a), explicit consent.<br>[Where applicable ].<br>Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller.<br>[University Charter, S.3 (a) - To provide instruction in such-branches of learning as the University may think fit, whether for members of the University or for others, and to make provision for research and for the advancement and dissemination of knowledge in such a manner as the University may determine.] | Potentially, depending upon the nature of the research project and participants, where data not anonymised or otherwise obfuscated. | Article 9, S.2 (a), explicit consent.<br>[Where applicable. ].<br>Article 9, S.2 (j), processing is necessary for archiving purposes in the public interest, scientific or historical research purposes or statistical purposes in accordance with Article 89(1) based on Union or Member State law which shall be proportionate to the aim pursued, respect the essence of the right to data protection and provide for suitable and specific measures to safeguard the fundamental rights and the interests of the data subject.<br>[Where applicable] |
| <b>RESEARCH</b> | Research Reporting | The activities involved in disseminating research results. | Activities include: publishing research results; presenting research results at technical meetings.  | Final versions of publications and presentations made to disseminate research results (NOT interim or final research reports).                               | Potentially, depending upon the nature of the research project and participants, where data not anonymised or otherwise obfuscated. | Article 6, S.1 (a), explicit consent.<br>[Where applicable ].<br>Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller.<br>[University Charter, S.3 (a) - To provide instruction in such-branches of learning as the University may think fit, whether for members of the University or for others, and to make provision for research and for the advancement and dissemination of knowledge in such a manner as the University may determine.] | Potentially, depending upon the nature of the research project and participants, where data not anonymised or otherwise obfuscated. | Article 9, S.2 (a), explicit consent.<br>[Where applicable. ].<br>Article 9, S.2 (j), processing is necessary for archiving purposes in the public interest, scientific or historical research purposes or statistical purposes in accordance with Article 89(1) based on Union or Member State law which shall be proportionate to the aim pursued, respect the essence of the right to data protection and provide for suitable and specific measures to safeguard the fundamental rights and the interests of the data subject.<br>[Where applicable] |

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|------------------------------|-----------------------------|--|--|--|---|---|---|---|
| RESEARCH                     | Research Project Management | The activities involved in managing the conduct of research projects from formal initiation (following receipt of funding) to formal completion. | Activities include: monitoring and tracking the progress of research; preparing reports for project stakeholders; arranging appropriate insurance; managing project resources and complying with institutional policies and procedures to protect project staff, participants and the environment; facilitating and assisting with monitoring activities and audits conducted by the institution, by external project sponsors/funders or by regulatory bodies; selecting research partners and subcontractors, and managing relationships with them; managing the process of offering research data to, and depositing it with, external research data archives, and ensuring future compliance with the terms and conditions of deposit. | Records documenting the management of internally-funded research projects. | Potentially, depending upon the nature of the research project and participants, where data not anonymised or otherwise obfuscated. | Article 6, S.1 (a), explicit consent. [Where applicable ]. Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller. [University Charter, S.3 (a) - To provide instruction in such-branches of learning as the University may think fit, whether for members of the University or for others, and to make provision for research and for the advancement and dissemination of knowledge in such a manner as the University may determine.] | Potentially, depending upon the nature of the research project and participants, where data not anonymised or otherwise obfuscated. | Article 9, S.2 (a), explicit consent. [Where applicable. ]. Article 9, S.2 (j), processing is necessary for archiving purposes in the public interest, scientific or historical research purposes or statistical purposes in accordance with Article 89(1) based on Union or Member State law which shall be proportionate to the aim pursued, respect the essence of the right to data protection and provide for suitable and specific measures to safeguard the fundamental rights and the interests of the data subject. [Where applicable] |
| RESEARCH                     | Research Project Management | The activities involved in managing the conduct of research projects from formal initiation (following receipt of funding) to formal completion. | Activities include: monitoring and tracking the progress of research; preparing reports for project stakeholders; arranging appropriate insurance; managing project resources and complying with institutional policies and procedures to protect project staff, participants and the environment; facilitating and assisting with monitoring activities and audits conducted by the institution, by external project sponsors/funders or by regulatory bodies; selecting research partners and subcontractors, and managing relationships with them; managing the process of offering research data to, and depositing it with, external research data archives, and ensuring future compliance with the terms and conditions of deposit. | Records documenting the management of externally-funded research projects. | Potentially, depending upon the nature of the research project and participants, where data not anonymised or otherwise obfuscated. | Article 6, S.1 (a), explicit consent. [Where applicable ]. Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller. [University Charter, S.3 (a) - To provide instruction in such-branches of learning as the University may think fit, whether for members of the University or for others, and to make provision for research and for the advancement and dissemination of knowledge in such a manner as the University may determine.] | Potentially, depending upon the nature of the research project and participants, where data not anonymised or otherwise obfuscated. | Article 9, S.2 (a), explicit consent. [Where applicable. ]. Article 9, S.2 (j), processing is necessary for archiving purposes in the public interest, scientific or historical research purposes or statistical purposes in accordance with Article 89(1) based on Union or Member State law which shall be proportionate to the aim pursued, respect the essence of the right to data protection and provide for suitable and specific measures to safeguard the fundamental rights and the interests of the data subject. [Where applicable] |
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| RESEARCH PROGRAMME PROVISION |                             | The function of delivering the institution's postgraduate research programmes.   |  |  |   |   |   |   |



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|------------------------------|--------------------------------|---|--|---|---|---|-------------------------------------|--|
| RESEARCH PROGRAMME PROVISION | Research Programme Development | The activities involved in developing the institution's research programmes.                          |  | Records documenting the development of the institution's research programmes.   |   |   |                                     |  |
| RESEARCH PROGRAMME PROVISION | Research Programme Development | The activities involved in developing the institution's research programmes.                          |  | Records documenting routine monitoring of external developments and trends to inform the development of the institution's research programmes.  |   |   |                                     |  |
| RESEARCH PROGRAMME PROVISION | Research Programme Review      | The activities involved in reviewing the institution's research programmes.                           |  | Records containing data on, and analyses of, student numbers and other programme statistics.  | No - data considered in aggregate.          |   |                                     |  |
| RESEARCH PROGRAMME PROVISION | Research Programme Review      | The activities involved in reviewing the institution's research programmes.                           |  | Records containing reports of routine internal reviews of research programmes.  | Yes - peer review, performance review       | Article 6 S.1 (b), necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract. [Contract of employment.]   | Possibly - mitigating circumstances | Article 9, S.2 (a), explicit consent<br>[Information provided by individual to University further to process and at data subject's own instigation. ]. |
| RESEARCH PROGRAMME PROVISION | Research Programme Review      | The activities involved in reviewing the institution's research programmes.                           |  | Records documenting the conduct and results of formal independent reviews of research programmes, and the responses to the results.             | Yes - peer review, performance review       | Article 6 S.1 (b), necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract. [Contract of employment.]   | Possibly - mitigating circumstances | Article 9, S.2 (a), explicit consent<br>[Information provided by individual to University further to process and at data subject's own instigation. ]. |
| RESEARCH PROGRAMME PROVISION | Research Programme Assessment  | The activities involved in conducting formal assessments of students undertaking research programmes. |  | Records documenting the conduct of formal assessments of work undertaken by research students.  | Yes - student/graduand/graduate information | Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller. [University Charter, S.3 (c) - To grant, under conditions laid down in the Statutes or Ordinances, a degree, diploma, certificate or other academic award to any person who shall have pursued a course of study approved by the University and shall have passed the examinations or other tests prescribed by the University.] |                                     |  |
| RESEARCH PROGRAMME PROVISION | Research Programme Assessment  | The activities involved in conducting formal assessments of students undertaking research programmes. |  | Records documenting awards and classifications, including reviews in response to notifications of mitigating circumstances or academic appeals. | Yes - student/graduand/graduate information | Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller. [University Charter, S.3 (c) - To grant, under conditions laid down in the Statutes or Ordinances, a degree, diploma, certificate or other academic award to any person who shall have   | Yes                                 | Article 9, S.2 (a), explicit consent<br>[Information provided by individual to University further to process and at data subject's own instigation. ]. |

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|  |  |  |   |   |     | pursued a course of study approved by the University and shall have passed the examinations or other tests prescribed by the University.]  |  |  |
| <b>RESEARCH PROGRAMME PROVISION</b>                    | Research Supervisor Appointment & Training | The activities involved in appointing research supervisors and in providing training for them.                               |   | Records documenting the appointment of supervisors for research students.   | Yes | Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller.<br>[University Charter, S.3 (c) - To grant, under conditions laid down in the Statutes or Ordinances, a degree, diploma, certificate or other academic award to any person who shall have pursued a course of study approved by the University and shall have passed the examinations or other tests prescribed by the University.] |  |  |
| <b>RESEARCH PROGRAMME PROVISION</b>                    | Research Student Monitoring & Support      | The activities involved in monitoring, reviewing and supporting research student the academic progress of research students. | Activities include: providing support and guidance to research students on subject selection; providing feedback to students on their progress; conducting formal reviews of student progress; providing students with general academic advice and guidance; providing students with opportunities to develop their research and other skills; providing advice and guidance to students whose progress is unsatisfactory or who are considering suspending or terminating their studies. | Records documenting academic advice and guidance to individual students on the selection of research subjects and on the progress and standard of their work. | Yes | Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller.<br>[University Charter, S.3 (c) - To grant, under conditions laid down in the Statutes or Ordinances, a degree, diploma, certificate or other academic award to any person who shall have pursued a course of study approved by the University and shall have passed the examinations or other tests prescribed by the University.] |  |  |
| <b>INTELLECTUAL PROPERTY RIGHTS (IPR) EXPLOITATION</b> |  | The function of commercially exploiting the institution's intellectual property rights (IPR).                                |   |   |     |  |  |  |



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| INTELLECTUAL PROPERTY RIGHTS (IPR) EXPLOITATION | IPR Exploitation Strategy Development | The activities involved in developing and establishing the institution's strategy for commercial exploitation of its IPR. | Activities include: identifying requirements for new/revised strategy; undertaking research; developing strategy proposals; consulting on strategy proposals; reviewing and revising strategy proposals in the light of comments received; drafting strategy documents; consulting on strategy documents; reviewing draft strategy documents in the light of comments received; producing final strategy documents; submitting final strategy documents for formal endorsement; formally endorsing strategy documents; disseminating strategy documents; reviewing strategy. | Records documenting the development and establishment of the institution's IPR exploitation strategy: key records.    |  |  |  |  |
| INTELLECTUAL PROPERTY RIGHTS (IPR) EXPLOITATION | IPR Exploitation Strategy Development | The activities involved in developing and establishing the institution's strategy for commercial exploitation of its IPR. | Activities include: identifying requirements for new/revised strategy; undertaking research; developing strategy proposals; consulting on strategy proposals; reviewing and revising strategy proposals in the light of comments received; drafting strategy documents; consulting on strategy documents; reviewing draft strategy documents in the light of comments received; producing final strategy documents; submitting final strategy documents for formal endorsement; formally endorsing strategy documents; disseminating strategy documents; reviewing strategy. | Records documenting the development and establishment of the institution's IPR exploitation strategy: working papers. |  |  |  |  |
| INTELLECTUAL PROPERTY RIGHTS (IPR) EXPLOITATION | IPR Exploitation Policy Development   | The activities involved in developing and establishing the institution's policies on commercial exploitation of its IPR.  | Activities include: identifying requirements for new/revised policy; undertaking research; developing policy proposals; consulting on policy proposals; reviewing and revising policy proposals in the light of comments received; drafting policy documents; consulting on policy documents; reviewing draft policy documents in the light of comments received; producing final  | Records documenting the development and establishment of the institution's policies on IPR exploitation: key records. |  |  |  |  |

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|  |  |  | policy documents; submitting final policy documents for formal approval; formally approving policy documents; disseminating policy documents; reviewing policy.   |  |  |  |  |  |
| <b>INTELLECTUAL PROPERTY RIGHTS (IPR) EXPLOITATION</b> | IPR Exploitation Policy Development    | The activities involved in developing and establishing the institution's policies on commercial exploitation of its IPR. | Activities include: identifying requirements for new/revised policy; undertaking research; developing policy proposals; consulting on policy proposals; reviewing and revising policy proposals in the light of comments received; drafting policy documents; consulting on policy documents; reviewing draft policy documents in the light of comments received; producing final policy documents; submitting final policy documents for formal approval; formally approving policy documents; disseminating policy documents; reviewing policy. | Records documenting the development and establishment of the institution's policies on IPR exploitation: working papers. |  |  |  |  |
| <b>INTELLECTUAL PROPERTY RIGHTS (IPR) EXPLOITATION</b> | IPR Exploitation Procedure Development | The activities involved in developing the institution's procedures for commercially exploiting its IPR.                  | Activities include: identifying needs for new/revised procedure; undertaking research; analysing work processes; drafting procedure documents; consulting on procedure documents; reviewing draft procedure documents in the light of comments received; trialling procedure; refining procedure as a result of trials; submitting final procedure documents for formal approval; formally approving procedure documents; disseminating procedure documents; reviewing procedure.   | Records documenting the development of the institution's procedures relating to IPR exploitation.                        |  |  |  |  |
| <b>INTELLECTUAL PROPERTY RIGHTS (IPR) EXPLOITATION</b> | IPR Exploitation Procedure Development | The activities involved in developing the institution's procedures for commercially exploiting its IPR.                  | Activities include: identifying needs for new/revised procedure; undertaking research; analysing work processes; drafting procedure documents; consulting on procedure documents; reviewing draft procedure documents in the light of comments received;  | Master copies of procedures relating to IPR exploitation.  |  |  |  |  |

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|  |                |   | trialling procedure; refining procedure as a result of trials; submitting final procedure documents for formal approval; formally approving procedure documents; disseminating procedure documents; reviewing procedure. |   |  |  |  |  |
| <b>INTELLECTUAL PROPERTY RIGHTS (IPR) EXPLOITATION</b> | IPR Assignment | The activities involved in selling or otherwise transferring ownership of the institution's IPR to third parties. | Activities include: negotiating terms of IPR assignments; informing The (UK) Patent Office of the assignment; determining arrangements for revenue sharing between the institution and the inventor.                     | Records documenting the negotiation and completion of IPR assignments to third parties. | Possibly, depending upon nature/owner of IP. | Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller.<br>[University Charter, S.3 (a) - To provide instruction in such-branches of learning as the University may think fit, whether for members of the University or for others, and to make provision for research and for the advancement and dissemination of knowledge in such a manner as the University may determine. University Charter, S.3 (q) - To make provision for research, design, development, testing and advisory services and with these objects to enter into such arrangements with any other institution or with any public or private body or with any person or persons as may be thought desirable and to charge to any user of such services such fee as may be thought desirable.] |  |  |

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| <b>INTELLECTUAL PROPERTY RIGHTS (IPR) EXPLOITATION</b> | IPR Licensing                    | The activities involved in licensing the institution's IPR rights to external organisations.                                       | Activities include: negotiating terms of licences; registering licences (and cancelling licences) with The (UK) Patent Office; determining arrangements for revenue sharing between the institution and the inventor.  | Records documenting the negotiation and completion of IPR licence agreements to third parties.                | Possibly, depending upon nature/owner of IP. | Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller.<br>[University Charter, S.3 (a) - To provide instruction in such-branches of learning as the University may think fit, whether for members of the University or for others, and to make provision for research and for the advancement and dissemination of knowledge in such a manner as the University may determine.<br>University Charter, S.3 (q) - To make provision for research, design, development, testing and advisory services and with these objects to enter into such arrangements with any other institution or with any public or private body or with any person or persons as may be thought desirable and to charge to any user of such services such fee as may be thought desirable.] |  |  |
| <b>CONSULTANCY</b>                                     |                                  | The function of providing consultancy to external organisations on a commercial basis.   |  |   |  |   |  |  |
| <b>CONSULTANCY</b>                                     | Consultancy Strategy Development | The activities involved in developing and establishing the institution's strategy for providing consultancy on a commercial basis. | Activities include: identifying requirements for new/revised strategy; undertaking research; developing strategy proposals; consulting on strategy proposals; reviewing and revising strategy proposals in the light of comments received; drafting strategy documents; consulting on strategy documents; reviewing draft strategy documents in the light of comments received; producing final strategy documents; submitting final strategy documents for formal endorsement; formally endorsing strategy documents; disseminating strategy documents; reviewing strategy. | Records documenting the development and establishment of the institution's consultancy strategy: key records. |  |   |  |  |

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| <b>CONSULTANCY</b> | Consultancy Strategy Development | The activities involved in developing and establishing the institution's strategy for providing consultancy on a commercial basis. | Activities include: identifying requirements for new/revised strategy; undertaking research; developing strategy proposals; consulting on strategy proposals; reviewing and revising strategy proposals in the light of comments received; drafting strategy documents; consulting on strategy documents; reviewing draft strategy documents in the light of comments received; producing final strategy documents; submitting final strategy documents for formal endorsement; formally endorsing strategy documents; disseminating strategy documents; reviewing strategy. | Records documenting the development and establishment of the institution's consultancy strategy: working papers.    |  |  |  |  |
| <b>CONSULTANCY</b> | Consultancy Policy Development   | The activities involved in developing and establishing the institution's policies on providing consultancy on a commercial basis.  | Activities include: identifying requirements for new/revised policy; undertaking research; developing policy proposals; consulting on policy proposals; reviewing and revising policy proposals in the light of comments received; drafting policy documents; consulting on policy documents; reviewing draft policy documents in the light of comments received; producing final policy documents; submitting final policy documents for formal approval; formally approving policy documents; disseminating policy documents; reviewing policy.                            | Records documenting the development and establishment of the institution's policies on consultancy: key records.    |  |  |  |  |
| <b>CONSULTANCY</b> | Consultancy Policy Development   | The activities involved in developing and establishing the institution's policies on providing consultancy on a commercial basis.  | Activities include: identifying requirements for new/revised policy; undertaking research; developing policy proposals; consulting on policy proposals; reviewing and revising policy proposals in the light of comments received; drafting policy documents; consulting on policy documents; reviewing draft policy documents in the light of comments received; producing final policy documents;  | Records documenting the development and establishment of the institution's policies on consultancy: working papers. |  |  |  |  |

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|                    |                                   |   | submitting final policy documents for formal approval; formally approving policy documents; disseminating policy documents; reviewing policy.   |  |  |  |  |  |
| <b>CONSULTANCY</b> | Consultancy Procedure Development | The activities involved in developing the institution's procedures for providing consultancy on a commercial basis. | Activities include: identifying needs for new/revised procedure; undertaking research; analysing work processes; drafting procedure documents; consulting on procedure documents; reviewing draft procedure documents in the light of comments received; trialling procedure; refining procedure as a result of trials; submitting final procedure documents for formal approval; formally approving procedure documents; disseminating procedure documents; reviewing procedure. | Records documenting the development of the institution's procedures relating to consultancy. |  |  |  |  |
| <b>CONSULTANCY</b> | Consultancy Procedure Development | The activities involved in developing the institution's procedures for providing consultancy on a commercial basis. | Activities include: identifying needs for new/revised procedure; undertaking research; analysing work processes; drafting procedure documents; consulting on procedure documents; reviewing draft procedure documents in the light of comments received; trialling procedure; refining procedure as a result of trials; submitting final procedure documents for formal approval; formally approving procedure documents; disseminating procedure documents; reviewing procedure. | Master copies of procedures relating to consultancy.   |  |  |  |  |

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| <b>CONSULTANCY</b> | Consultancy Promotion           | The activities involved in promoting the expertise of the institution's staff.  | Activities include: maintaining directories of expertise and services.  | Directories of expertise   | Yes, insofar as expertise associated with public profile of expert. | Article 6 S.1 (b), necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract.<br>[Contract of employment.]<br>Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller.<br>[University Charter, S.3 (q) - To make provision for research, design, development, testing and advisory services and with these objects to enter into such arrangements with any other institution or with any public or private body or with any person or persons as may be thought desirable and to charge to any user of such services such fee as may be thought desirable.] |  |  |
| <b>CONSULTANCY</b> | Consultancy Prospect Management | The activities involved in responding to enquiries about the institution's consultancy services and in bidding for consultancy contracts. | Activities include: handling enquiries about the institution's consultancy capabilities/availability/terms; preparing proposals/tenders for consultancy projects. | Records documenting the handling of enquiries about consultancy, where no further action is taken. | Yes   | Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller.<br>[University Charter, S.3 (q) - To make provision for research, design, development, testing and advisory services and with these objects to enter into such arrangements with any other institution or with any public or private body or with any person or persons as may be thought desirable and to charge to any user of such services such fee as may be thought desirable.]   |  |  |

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| CONSULTANCY | Consultancy Prospect Management | The activities involved in responding to enquiries about the institution's consultancy services and in bidding for consultancy contracts. | Activities include: handling enquiries about the institution's consultancy capabilities/availability/terms; preparing proposals/tenders for consultancy projects. | Records documenting the preparation and submission of consultancy proposals/tenders, where the proposal/tender is unsuccessful (i.e. does not result in a contract).    | Yes | Article 6 S.1 (b), necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract.<br>Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller.<br>[University Charter, S.3 (q) - To make provision for research, design, development, testing and advisory services and with these objects to enter into such arrangements with any other institution or with any public or private body or with any person or persons as may be thought desirable and to charge to any user of such services such fee as may be thought desirable.] |  |  |
| CONSULTANCY | Consultancy Prospect Management | The activities involved in responding to enquiries about the institution's consultancy services and in bidding for consultancy contracts. | Activities include: handling enquiries about the institution's consultancy capabilities/availability/terms; preparing proposals/tenders for consultancy projects. | Records documenting the preparation and submission of consultancy proposals/tenders, where the proposal/tender is successful (i.e. results in a contract): key records. | Yes | Article 6 S.1 (b), necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract.<br>Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller.<br>[University Charter, S.3 (q) - To make provision for research, design, development, testing and advisory services and with these objects to enter into such arrangements with any other institution or with any public or private body or with any person or persons as may be thought desirable and to charge to any user of such services such fee as may be thought desirable.] |  |  |



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| CONSULTANCY | Consultancy Prospect Management | The activities involved in responding to enquiries about the institution's consultancy services and in bidding for consultancy contracts. | Activities include: handling enquiries about the institution's consultancy capabilities/availability/terms; preparing proposals/tenders for consultancy projects. | Records documenting the preparation and submission of consultancy proposals/tenders, where the proposal/tender is accepted (i.e. results in a contract): working papers. | Yes | Article 6 S.1 (b), necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract.<br>Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller.<br>[University Charter, S.3 (q) - To make provision for research, design, development, testing and advisory services and with these objects to enter into such arrangements with any other institution or with any public or private body or with any person or persons as may be thought desirable and to charge to any user of such services such fee as may be thought desirable.] |  |  |
| CONSULTANCY | Consultancy Contract Management | The activities involved in negotiating and managing contracts to provide consultancy.   | Activities include: negotiating contract terms and conditions; negotiating subsequent variations to contracts.  | Records documenting the negotiation and agreement of contracts, and subsequent variations to contracts: key records.   | Yes | Article 6 S.1 (b), necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract.<br>Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller.<br>[University Charter, S.3 (q) - To make provision for research, design, development, testing and advisory services and with these objects to enter into such arrangements with any other institution or with any public or private body or with any person or persons as may be thought desirable and to charge to any user of such services such fee as may be thought desirable.] |  |  |

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| CONSULTANCY | Consultancy Contract Management | The activities involved in negotiating and managing contracts to provide consultancy.                                | Activities include: negotiating contract terms and conditions; negotiating subsequent variations to contracts.   | Records documenting the negotiation and agreement of contracts, and subsequent variations to contracts: working papers. | Yes | Article 6 S.1 (b), necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract.<br>Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller.<br>[University Charter, S.3 (q) - To make provision for research, design, development, testing and advisory services and with these objects to enter into such arrangements with any other institution or with any public or private body or with any person or persons as may be thought desirable and to charge to any user of such services such fee as may be thought desirable.] |  |  |
| CONSULTANCY | Consultancy Project Management  | The activities involved in managing the conduct of consultancy projects from formal initiation to formal completion. | Activities include: monitoring and tracking the progress of work; preparing reports for clients and other stakeholders; arranging appropriate insurance; managing project resources and ensuring compliance with institutional policies and procedures; maintaining project records. | Records documenting the management of consultancy projects: key records.  | Yes | Article 6 S.1 (b), necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract.<br>Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller.<br>[University Charter, S.3 (q) - To make provision for research, design, development, testing and advisory services and with these objects to enter into such arrangements with any other institution or with any public or private body or with any person or persons as may be thought desirable and to charge to any user of such services such fee as may be thought desirable.] |  |  |

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| CONSULTANCY | Consultancy Project Management | The activities involved in managing the conduct of consultancy projects from formal initiation to formal completion. | Activities include: monitoring and tracking the progress of work; preparing reports for clients and other stakeholders; arranging appropriate insurance; managing project resources and ensuring compliance with institutional policies and procedures; maintaining project records. | Records documenting the management of consultancy projects: working papers.        | Yes | Article 6 S.1 (b), necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract.<br>Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller.<br>[University Charter, S.3 (q) - To make provision for research, design, development, testing and advisory services and with these objects to enter into such arrangements with any other institution or with any public or private body or with any person or persons as may be thought desirable and to charge to any user of such services such fee as may be thought desirable.] |  |  |
| CONSULTANCY | Consultancy Project Delivery   | The activities involved in providing consultancy.  | Activities depend on the type of consultancy being provided. They might include: conducting research; conducting surveys/audits; providing advice; giving presentations; facilitating workshops; providing training.   | Records documenting the scheduling of meetings, interviews and other project work. | Yes | Article 6 S.1 (b), necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract.<br>Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller.<br>[University Charter, S.3 (q) - To make provision for research, design, development, testing and advisory services and with these objects to enter into such arrangements with any other institution or with any public or private body or with any person or persons as may be thought desirable and to charge to any user of such services such fee as may be thought desirable.] |  |  |

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| CONSULTANCY | Consultancy Project Delivery | The activities involved in providing consultancy. | Activities depend on the type of consultancy being provided. They might include: conducting research; conducting surveys/audits; providing advice; giving presentations; facilitating workshops; providing training. | Records documenting substantive project work.   | Yes | Article 6 S.1 (b), necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract.<br>Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller.<br>[University Charter, S.3 (q) - To make provision for research, design, development, testing and advisory services and with these objects to enter into such arrangements with any other institution or with any public or private body or with any person or persons as may be thought desirable and to charge to any user of such services such fee as may be thought desirable.] |  |  |
| CONSULTANCY | Consultancy Project Delivery | The activities involved in providing consultancy. | Activities depend on the type of consultancy being provided. They might include: conducting research; conducting surveys/audits; providing advice; giving presentations; facilitating workshops; providing training. | Records documenting project deliverables/outcomes: draft versions and working papers. | Yes | Article 6 S.1 (b), necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract.<br>Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller.<br>[University Charter, S.3 (q) - To make provision for research, design, development, testing and advisory services and with these objects to enter into such arrangements with any other institution or with any public or private body or with any person or persons as may be thought desirable and to charge to any user of such services such fee as may be thought desirable.] |  |  |

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| <b>CONSULTANCY</b>              | Consultancy Project Delivery              | The activities involved in providing consultancy.   | Activities depend on the type of consultancy being provided. They might include: conducting research; conducting surveys/audits; providing advice; giving presentations; facilitating workshops; providing training.   | Records documenting project deliverables/outcomes: final versions and confirmations of client acceptance.                | Yes | Article 6 S.1 (b), necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract.<br>Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller.<br>[University Charter, S.3 (q) - To make provision for research, design, development, testing and advisory services and with these objects to enter into such arrangements with any other institution or with any public or private body or with any person or persons as may be thought desirable and to charge to any user of such services such fee as may be thought desirable.] |  |  |
| <b>EDUCATION &amp; TRAINING</b> |   | The function of developing and delivering education and training programmes for external organisations, and for the public.   |  |  |     |   |  |  |
| <b>EDUCATION &amp; TRAINING</b> | Education & Training Strategy Development | The activities involved in developing and establishing the institution's strategy for providing education and training programmes for external organisations, and for the public. | Activities include: identifying requirements for new/revised strategy; undertaking research; developing strategy proposals; consulting on strategy proposals; reviewing and revising strategy proposals in the light of comments received; drafting strategy documents; consulting on strategy documents; reviewing draft strategy documents in the light of comments received; producing final strategy documents; submitting final strategy documents for formal endorsement; formally endorsing strategy documents; disseminating strategy documents; reviewing strategy. | Records documenting the development and establishment of the institution's education and training strategy: key records. |     |   |  |  |

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| EDUCATION & TRAINING | Education & Training Strategy Development | The activities involved in developing and establishing the institution's strategy for providing education and training programmes for external organisations, and for the public. | Activities include: identifying requirements for new/revised strategy; undertaking research; developing strategy proposals; consulting on strategy proposals; reviewing and revising strategy proposals in the light of comments received; drafting strategy documents; consulting on strategy documents; reviewing draft strategy documents in the light of comments received; producing final strategy documents; submitting final strategy documents for formal endorsement; formally endorsing strategy documents; disseminating strategy documents; reviewing strategy. | Records documenting the development and establishment of the institution's education and training strategy: working papers.    |  |  |  |  |
| EDUCATION & TRAINING | Education & Training Policy Development   | The activities involved in developing and establishing the institution's policies on providing education and training programmes for external organisations, and for the public.  | Activities include: identifying requirements for new/revised policy; undertaking research; developing policy proposals; consulting on policy proposals; reviewing and revising policy proposals in the light of comments received; drafting policy documents; consulting on policy documents; reviewing draft policy documents in the light of comments received; producing final policy documents; submitting final policy documents for formal approval; formally approving policy documents; disseminating policy documents; reviewing policy.                            | Records documenting the development and establishment of the institution's policies on education and training: key records.    |  |  |  |  |
| EDUCATION & TRAINING | Education & Training Policy Development   | The activities involved in developing and establishing the institution's policies on providing education and training programmes for external organisations, and for the public.  | Activities include: identifying requirements for new/revised policy; undertaking research; developing policy proposals; consulting on policy proposals; reviewing and revising policy proposals in the light of comments received; drafting policy documents; consulting on policy documents; reviewing draft policy documents in the light of comments received; producing final policy documents;  | Records documenting the development and establishment of the institution's policies on education and training: working papers. |  |  |  |  |

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|                                 |  |  | submitting final policy documents for formal approval; formally approving policy documents; disseminating policy documents; reviewing policy.   |   |                                    |  |  |  |
| <b>EDUCATION &amp; TRAINING</b> | Education & Training Procedure Development | The activities involved in developing the institution's procedures for providing education and training programmes for external organisations, and for the public. | Activities include: identifying needs for new/revised procedure; undertaking research; analysing work processes; drafting procedure documents; consulting on procedure documents; reviewing draft procedure documents in the light of comments received; trialling procedure; refining procedure as a result of trials; submitting final procedure documents for formal approval; formally approving procedure documents; disseminating procedure documents; reviewing procedure. | Records documenting the development of the institution's procedures relating to education and training. |                                    |  |  |  |
| <b>EDUCATION &amp; TRAINING</b> | Education & Training Procedure Development | The activities involved in developing the institution's procedures for providing education and training programmes for external organisations, and for the public. | Activities include: identifying needs for new/revised procedure; undertaking research; analysing work processes; drafting procedure documents; consulting on procedure documents; reviewing draft procedure documents in the light of comments received; trialling procedure; refining procedure as a result of trials; submitting final procedure documents for formal approval; formally approving procedure documents; disseminating procedure documents; reviewing procedure. | Master copies of procedures relating to education and training.   |                                    |  |  |  |
| <b>EDUCATION &amp; TRAINING</b> | Education & Training Programme Development | The activities involved in developing education and training programmes.   | Activities include: developing new programmes and new modules in existing programmes; making changes to existing programmes and modules; withdrawing programmes or modules; obtaining and maintaining accreditation for programmes.   | Records documenting the development of education and training programmes.                               |                                    |  |  |  |
| <b>EDUCATION &amp; TRAINING</b> | Education & Training Programme Review      | The activities involved in reviewing education and training programmes to  | Activities include: collecting and analysing student numbers and other  | Records containing data on, and analyses of, student  | No - data considered in aggregate. |  |  |  |

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|  |   | inform ongoing programme development.  | programme statistics; collecting, reviewing and responding to feedback on programmes from staff and students.   | numbers and other programme statistics.                                       |  |   |  |  |
| <b>EDUCATION &amp; TRAINING</b>  | Education & Training Programme Delivery   | The activities involved in delivering education and training programmes.                                     | Activities include: preparing teaching and learning materials; planning and conducting teaching and learning events.  | Records documenting the preparation of teaching and learning materials.       |  |   |  |  |
| <b>EDUCATION &amp; TRAINING</b><br><b>SEE ALSO TEACHING &amp; LEARNING</b> | Education & Training Programme Delivery   | The activities involved in delivering education and training programmes.                                     | Activities include: preparing teaching and learning materials; planning and conducting teaching and learning events.  | Records documenting the planning and conduct of teaching and learning events. | Yes - class lists or other attendee/facilitator/tutor information. | Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller.<br>[University Charter, S.3 (a) - To provide instruction in such-branches of learning as the University may think fit, whether for members of the University or for others, and to make provision for research and for the advancement and dissemination of knowledge in such a manner as the University may determine.] | Possibly - attendance lists per UKVI requirements. | Article 9 S.2 (g), necessary for reasons of substantial public interest, on the basis of Union or Member State law |
| <b>EDUCATION &amp; TRAINING</b><br><b>SEE ALSO TEACHING &amp; LEARNING</b> | Education & Training Programme Assessment | The activities involved in assessing students' progress and attainment on education and training programmes. | Activities include: setting assessments; marking/grading assessments; reviewing marks/grades awarded in response to notifications of mitigating circumstances; conducting meetings of/with examiners/assessors to confirm marks/grades; determining awards and classifications. | Records documenting the design and development of assessments.                |  |   |  |  |
| <b>EDUCATION &amp; TRAINING</b><br><b>SEE ALSO TEACHING &amp; LEARNING</b> | Education & Training Programme Assessment | The activities involved in assessing students' progress and attainment on education and training programmes. | Activities include: setting assessments; marking/grading assessments; reviewing marks/grades awarded in response to notifications of mitigating circumstances; conducting meetings of/with examiners/assessors to confirm marks/grades; determining awards and classifications. | Records documenting submitted/completed assessments: formative assessments.   | Yes - student information  | Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller.<br>[University Charter, S.3 (a) - To provide instruction in such-branches of learning as the University may think fit, whether for members of the University or for others, and to make provision for research and for the advancement and dissemination of knowledge in such a manner as the University may determine.] |  |  |



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| <b>EDUCATION &amp; TRAINING</b><br><br><b>SEE ALSO TEACHING &amp; LEARNING</b> | Education & Training Programme Assessment | The activities involved in assessing students' progress and attainment on education and training programmes.  | Activities include: setting assessments; marking/grading assessments; reviewing marks/grades awarded in response to notifications of mitigating circumstances; conducting meetings of/with examiners/assessors to confirm marks/grades; determining awards and classifications. | Records documenting submitted/completed assessments: summative assessments.   | Yes - student information                   | Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller.<br>[University Charter, S.3 (a) - To provide instruction in such-branches of learning as the University may think fit, whether for members of the University or for others, and to make provision for research and for the advancement and dissemination of knowledge in such a manner as the University may determine.]  |  |  |
| <b>EDUCATION &amp; TRAINING</b><br><br><b>SEE ALSO TEACHING &amp; LEARNING</b> | Education & Training Programme Assessment | The activities involved in assessing students' progress and attainment on education and training programmes.  | Activities include: setting assessments; marking/grading assessments; reviewing marks/grades awarded in response to notifications of mitigating circumstances; conducting meetings of/with examiners/assessors to confirm marks/grades; determining awards and classifications. | Records documenting marks/grades given to submitted/completed summative assessments and, where appropriate, awards and classifications. | Yes - student/graduand/graduate information | Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller.<br>[University Charter, S.3 (c) - To grant, under conditions laid down in the Statutes or Ordinances, a degree, diploma, certificate or other academic award to any person who shall have pursued a course of study approved by the University and shall have passed the examinations or other tests prescribed by the University.]   |  |  |
| <b>EDUCATION &amp; TRAINING</b>  | Education & Training Contract Management  | The activities involved in negotiating and managing contracts with external organisations for the provision of bespoke education and training programmes. | Activities include: negotiating contract terms and conditions; negotiating subsequent variations to contracts.  | Records documenting the negotiation and establishment of contracts.   | Yes   | Article 6 S.1 (b), necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract.<br>Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller.<br>[University Charter, S.3 (q) - To make provision for research, design, development, testing and advisory services and with these objects to enter into such arrangements with any other institution or with any public or private body or with any person or persons as may be thought desirable and to charge to any |  |  |

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|                                     |  |  |  |  |  | user of such services such fee as may be thought desirable.] |  |  |
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| <b>RELATED COMPANIES MANAGEMENT</b> |  | The function of setting up and managing related companies.   |  |  |  |  |  |  |
| <b>RELATED COMPANIES MANAGEMENT</b> | Related Companies Strategy Development | The activities involved in developing and establishing the institution's strategy for setting up and managing related companies. | Activities include: identifying requirements for new/revised strategy; undertaking research; developing strategy proposals; consulting on strategy proposals; reviewing and revising strategy proposals in the light of comments received; drafting strategy documents; consulting on strategy documents; reviewing draft strategy documents in the light of comments received; producing final strategy documents; submitting final strategy documents for formal endorsement; formally endorsing strategy documents; disseminating strategy documents; reviewing strategy. | Records documenting the development and establishment of the institution's related companies strategy: key records.    |  |  |  |  |
| <b>RELATED COMPANIES MANAGEMENT</b> | Related Companies Strategy Development | The activities involved in developing and establishing the institution's strategy for setting up and managing related companies. | Activities include: identifying requirements for new/revised strategy; undertaking research; developing strategy proposals; consulting on strategy proposals; reviewing and revising strategy proposals in the light of comments received; drafting strategy documents; consulting on strategy documents; reviewing draft strategy documents in the light of comments received;  | Records documenting the development and establishment of the institution's related companies strategy: working papers. |  |  |  |  |

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|                                     |                                      |   | producing final strategy documents; submitting final strategy documents for formal endorsement; formally endorsing strategy documents; disseminating strategy documents; reviewing strategy.  |   |  |  |  |  |
| <b>RELATED COMPANIES MANAGEMENT</b> | Related Companies Policy Development | The activities involved in developing and establishing the institution's policies on the formation and management of related companies. | Activities include: identifying requirements for new/revised policy; undertaking research; developing policy proposals; consulting on policy proposals; reviewing and revising policy proposals in the light of comments received; drafting policy documents; consulting on policy documents; reviewing draft policy documents in the light of comments received; producing final policy documents; submitting final policy documents for formal approval; formally approving policy documents; disseminating policy documents; reviewing policy. | Records documenting the development and establishment of the institution's policies on the formation and management of related companies: key records.    |  |  |  |  |
| <b>RELATED COMPANIES MANAGEMENT</b> | Related Companies Policy Development | The activities involved in developing and establishing the institution's policies on the formation and management of related companies. | Activities include: identifying requirements for new/revised policy; undertaking research; developing policy proposals; consulting on policy proposals; reviewing and revising policy proposals in the light of comments received; drafting policy documents; consulting on policy documents; reviewing draft policy documents in the light of comments received; producing final policy documents; submitting final policy documents for formal approval; formally approving policy documents; disseminating policy documents; reviewing policy. | Records documenting the development and establishment of the institution's policies on the formation and management of related companies: working papers. |  |  |  |  |

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| <b>RELATED COMPANIES MANAGEMENT</b>   | Related Companies Procedure Development  | The activities involved in developing the institution's procedures for the formation and management of related companies. | Activities include: identifying needs for new/revised procedure; undertaking research; analysing work processes; drafting procedure documents; consulting on procedure documents; reviewing draft procedure documents in the light of comments received; trialling procedure; refining procedure as a result of trials; submitting final procedure documents for formal approval; formally approving procedure documents; disseminating procedure documents; reviewing procedure.                           | Records documenting the development of the institution's procedures relating to the formation and management of related companies. |  |  |  |  |
| <b>RELATED COMPANIES MANAGEMENT</b>   | Related Companies Procedure Development  | The activities involved in developing the institution's procedures for the formation and management of related companies. | Activities include: identifying needs for new/revised procedure; undertaking research; analysing work processes; drafting procedure documents; consulting on procedure documents; reviewing draft procedure documents in the light of comments received; trialling procedure; refining procedure as a result of trials; submitting final procedure documents for formal approval; formally approving procedure documents; disseminating procedure documents; reviewing procedure.                           | Master copies of procedures relating to the formation and management of related companies.   |  |  |  |  |
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| <b>COMMERCIAL SERVICES MANAGEMENT</b> |  | The function of providing services on a commercial basis.   |   |  |  |  |  |  |
| <b>COMMERCIAL SERVICES MANAGEMENT</b> | Commercial Services Strategy Development | The activities involved in developing and establishing the institution's strategy for providing commercial services.      | Activities include: identifying requirements for new/revised strategy; undertaking research; developing strategy proposals; consulting on strategy proposals; reviewing and revising strategy proposals in the light of comments received; drafting strategy documents; consulting on strategy documents; reviewing draft strategy documents in the light of comments received; producing final strategy documents; submitting final strategy documents for formal endorsement; formally endorsing strategy | Records documenting the development and establishment of the institution's commercial services strategy: key records.              |  |  |  |  |

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|                                       |  |  | documents; disseminating strategy documents; reviewing strategy.   |  |  |  |  |  |
| <b>COMMERCIAL SERVICES MANAGEMENT</b> | Commercial Services Strategy Development | The activities involved in developing and establishing the institution's strategy for providing commercial services. | Activities include: identifying requirements for new/revised strategy; undertaking research; developing strategy proposals; consulting on strategy proposals; reviewing and revising strategy proposals in the light of comments received; drafting strategy documents; consulting on strategy documents; reviewing draft strategy documents in the light of comments received; producing final strategy documents; submitting final strategy documents for formal endorsement; formally endorsing strategy documents; disseminating strategy documents; reviewing strategy. | Records documenting the development and establishment of the institution's commercial services strategy: working papers.                   |  |  |  |  |
| <b>COMMERCIAL SERVICES MANAGEMENT</b> | Commercial Services Policy Development   | The activities involved in developing and establishing the institution's policies on providing commercial services.  | Activities include: identifying requirements for new/revised policy; undertaking research; developing policy proposals; consulting on policy proposals; reviewing and revising policy proposals in the light of comments received; drafting policy documents; consulting on policy documents; reviewing draft policy documents in the light of comments received; producing final policy documents; submitting final policy documents for formal approval; formally approving policy documents; disseminating policy documents; reviewing policy.                            | Records documenting the development and establishment of the institution's policies on the management of commercial services: key records. |  |  |  |  |

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| <b>COMMERCIAL SERVICES MANAGEMENT</b> | Commercial Services Policy Development    | The activities involved in developing and establishing the institution's policies on providing commercial services. | Activities include: identifying requirements for new/revised policy; undertaking research; developing policy proposals; consulting on policy proposals; reviewing and revising policy proposals in the light of comments received; drafting policy documents; consulting on policy documents; reviewing draft policy documents in the light of comments received; producing final policy documents; submitting final policy documents for formal approval; formally approving policy documents; disseminating policy documents; reviewing policy. | Records documenting the development and establishment of the institution's policies on the management of commercial services: working papers. |  |  |  |  |
| <b>COMMERCIAL SERVICES MANAGEMENT</b> | Commercial Services Procedure Development | The activities involved in developing the institution's procedures for the providing commercial services.           | Activities include: identifying needs for new/revised procedure; undertaking research; analysing work processes; drafting procedure documents; consulting on procedure documents; reviewing draft procedure documents in the light of comments received; trialling procedure; refining procedure as a result of trials; submitting final procedure documents for formal approval; formally approving procedure documents; disseminating procedure documents; reviewing procedure.   | Records documenting the development of the institution's procedures relating to the management of commercial services.                        |  |  |  |  |
| <b>COMMERCIAL SERVICES MANAGEMENT</b> | Commercial Services Procedure Development | The activities involved in developing the institution's procedures for the providing commercial services.           | Activities include: identifying needs for new/revised procedure; undertaking research; analysing work processes; drafting procedure documents; consulting on procedure documents; reviewing draft procedure documents in the light of comments received; trialling procedure; refining procedure as a result of trials; submitting final procedure documents for formal approval; formally approving procedure documents; disseminating procedure documents; reviewing procedure.   | Master copies of procedures relating to the management of commercial services.  |  |  |  |  |

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| <b>STUDENT ADMINISTRATION</b> |  | The function of administering the institution's contractual relationships with its students.                 |   |   |  |  |  |  |
| <b>STUDENT ADMINISTRATION</b> | Student Administration Policy Development    | The activities involved in developing and establishing the institution's policies on student administration. | Activities include: identifying requirements for new/revised policy; undertaking research; developing policy proposals; consulting on policy proposals; reviewing and revising policy proposals in the light of comments received; drafting policy documents; consulting on policy documents; reviewing draft policy documents in the light of comments received; producing final policy documents; submitting final policy documents for formal approval; formally approving policy documents; disseminating policy documents; reviewing policy. | Records documenting the development and establishment of the institution's student administration policies: key records.    |  |  |  |  |
| <b>STUDENT ADMINISTRATION</b> | Student Administration Policy Development    | The activities involved in developing and establishing the institution's policies on student administration. | Activities include: identifying requirements for new/revised policy; undertaking research; developing policy proposals; consulting on policy proposals; reviewing and revising policy proposals in the light of comments received; drafting policy documents; consulting on policy documents; reviewing draft policy documents in the light of comments received; producing final policy documents; submitting final policy documents for formal approval; formally approving policy documents; disseminating policy documents; reviewing policy. | Records documenting the development and establishment of the institution's student administration policies: working papers. |  |  |  |  |
| <b>STUDENT ADMINISTRATION</b> | Student Administration Procedure Development | The activities involved in developing the institution's procedures for the administration of students.       | Activities include: identifying needs for new/revised procedure; undertaking research; analysing work processes; drafting procedure documents; consulting on procedure documents; reviewing draft procedure documents in the light of comments received; trialling procedure; refining procedure as a result of   | Records documenting the development of the institution's procedures relating to student administration.                     |  |  |  |  |

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|                        |  |  | <p>trials; submitting final procedure documents for formal approval; formally approving procedure documents; disseminating procedure documents; reviewing procedure.</p>   |   |  |  |  |  |
| STUDENT ADMINISTRATION | Student Administration Procedure Development | The activities involved in developing the institution's procedures for the administration of students. | <p>Activities include: identifying needs for new/revised procedure; undertaking research; analysing work processes; drafting procedure documents; consulting on procedure documents; reviewing draft procedure documents in the light of comments received; trialling procedure; refining procedure as a result of trials; submitting final procedure documents for formal approval; formally approving procedure documents; disseminating procedure documents; reviewing procedure.</p> | Master copies of procedures relating to student administration.                                 |  |  |  |  |
| STUDENT ADMINISTRATION | Student Recruitment                          | The activities involved in recruiting students to the institution.                                     | <p>Activities include: designing and conducting student recruitment campaigns; designing and organising student recruitment events (e.g. open days and recruitment fairs); designing and operating student recruitment schemes (e.g. school liaison); issuing recruitment materials (e.g. to schools); handling enquiries from prospective students; analysing recruitment and retention data.</p>   | Records documenting the design, conduct and summary results of student recruitment campaigns.   |  |  |  |  |
| STUDENT ADMINISTRATION | Student Recruitment                          | The activities involved in recruiting students to the institution.                                     | <p>Activities include: designing and conducting student recruitment campaigns; designing and organising student recruitment events (e.g. open days and recruitment fairs); designing and operating student recruitment schemes (e.g. school liaison); issuing recruitment materials (e.g. to schools); handling enquiries from prospective students; analysing recruitment and retention data.</p>   | Records documenting the design, organisation and summary results of student recruitment events. |  |  |  |  |



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| STUDENT ADMINISTRATION | Student Recruitment | The activities involved in recruiting students to the institution. | Activities include: designing and conducting student recruitment campaigns; designing and organising student recruitment events (e.g. open days and recruitment fairs); designing and operating student recruitment schemes (e.g. school liaison); issuing recruitment materials (e.g. to schools); handling enquiries from prospective students; analysing recruitment and retention data. | Records documenting the design, operation and summary results of student recruitment schemes.              |     |  |  |  |
| STUDENT ADMINISTRATION | Student Recruitment | The activities involved in recruiting students to the institution. | Activities include: designing and conducting student recruitment campaigns; designing and organising student recruitment events (e.g. open days and recruitment fairs); designing and operating student recruitment schemes (e.g. school liaison); issuing recruitment materials (e.g. to schools); handling enquiries from prospective students; analysing recruitment and retention data. | Records documenting the issue of student recruitment materials in bulk to schools and other organisations. |     |  |  |  |
| STUDENT ADMINISTRATION | Student Recruitment | The activities involved in recruiting students to the institution. | Activities include: designing and conducting student recruitment campaigns; designing and organising student recruitment events (e.g. open days and recruitment fairs); designing and operating student recruitment schemes (e.g. school liaison); issuing recruitment materials (e.g. to schools); handling enquiries from prospective students; analysing recruitment and retention data. | Records documenting the handling of enquiries from prospective students.                                   | Yes | Article 6 S.1 (b), necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract.<br>Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller.<br>[University Charter, S.3 (a) - To provide instruction in such-branches of learning as the University may think fit, whether for members of the University or for others, and to make provision for research and for the advancement and dissemination of knowledge in such a manner as the University may determine.<br>University Charter, S.3 (b) - To prescribe in the Ordinances of the University (hereinafter called 'the Ordinances') the conditions under which any | Potentially - enquiries concerning support for disability etc. | Article 9, S.2 (a), explicit consent<br>[Information provided by individual to University further to process and at data subject's own instigation. ]. |

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|                               |                     |  |   |  |  | <p>person may be admitted as a student of the University or to any particular course of study provided by the University. University Charter, S.9 - The organisation and management of the academic disciplines of the University, and all matters pertaining thereto which the University may think proper to regulate, shall be as prescribed in the Statutes or Ordinances.]</p> |  |  |
| <b>STUDENT ADMINISTRATION</b> | Student Recruitment | The activities involved in recruiting students to the institution. | Activities include: designing and conducting student recruitment campaigns; designing and organising student recruitment events (e.g. open days and recruitment fairs); designing and operating student recruitment schemes (e.g. school liaison); issuing recruitment materials (e.g. to schools); handling enquiries from prospective students; analysing recruitment and retention data. | Records containing summaries and analyses of enquiry, recruitment and retention data.          |  |   |  |  |
| <b>STUDENT ADMINISTRATION</b> | Student Admission   | The activities involved in admitting students to the institution.  | Activities include: determining and applying admissions criteria; handling applications for admission; administering the clearing process; monitoring overall student numbers.  | Records documenting the development and establishment of the institution's admission criteria. |  |   |  |  |

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| STUDENT ADMINISTRATION | Student Admission | The activities involved in admitting students to the institution. | Activities include: determining and applying admissions criteria; handling applications for admission; administering the clearing process; monitoring overall student numbers. | Records documenting the handling of applications for admission: successful applications. | Yes | <p>Article 6 S.1 (b), necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract.</p> <p>Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller.</p> <p>[University Charter, S.3 (a) - To provide instruction in such-branches of learning as the University may think fit, whether for members of the University or for others, and to make provision for research and for the advancement and dissemination of knowledge in such a manner as the University may determine.</p> <p>University Charter, S.3 (b) - To prescribe in the Ordinances of the University (hereinafter called 'the Ordinances') the conditions under which any person may be admitted as a student of the University or to any particular course of study provided by the University.</p> <p>University Charter, S.9 - The organisation and management of the academic disciplines of the University, and all matters pertaining thereto which the University may think proper to regulate, shall be as prescribed in the Statutes or Ordinances.]</p> | Potentially - disclosures concerning support for disability etc. | Article 9, S.2 (a), explicit consent<br>[Information provided by individual to University further to process and at data subject's own instigation. ]. |
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| STUDENT ADMINISTRATION | Student Admission | The activities involved in admitting students to the institution. | Activities include: determining and applying admissions criteria; handling applications for admission; administering the clearing process; monitoring overall student numbers. | Records documenting the handling of applications for admission: unsuccessful applications. | Yes | Article 6 S.1 (b), necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract.Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller.[University Charter, S.3 (a) - To provide instruction in such-branches of learning as the University may think fit, whether for members of the University or for others, and to make provision for research and for the advancement and dissemination of knowledge in such a manner as the University may determine.University Charter, S.3 (b) - To prescribe in the Ordinances of the University (hereinafter called 'the Ordinances') theconditions under which any person may be admitted as a student of the University or to anyparticular course of study provided by the University.University Charter, S.9 - The organisation and management of the academic disciplines of the University, and all matters pertaining thereto which the University may think proper to regulate, shall be as prescribed in the Statutes or Ordinances.] | Potentially - disclosures concerning support for disability etc. | Article 9, S.2 (a), explicit consent[Information provided by individual to University further to process and at data subject's own instigation. ]. |
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| STUDENT ADMINISTRATION | Student Admission | The activities involved in admitting students to the institution. | Activities include: determining and applying admissions criteria; handling applications for admission; administering the clearing process; monitoring overall student numbers. | Records documenting the administration of the clearing process. | Yes | Article 6 S.1 (b), necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract.<br>Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller.<br>[University Charter, S.3 (a) - To provide instruction in such-branches of learning as the University may think fit, whether for members of the University or for others, and to make provision for research and for the advancement and dissemination of knowledge in such a manner as the University may determine.<br>University Charter, S.3 (b) - To prescribe in the Ordinances of the University (hereinafter called 'the Ordinances') the conditions under which any person may be admitted as a student of the University or to any particular course of study provided by the University.<br>University Charter, S.9 - The organisation and management of the academic disciplines of the University, and all matters pertaining thereto which the University may think proper to regulate, shall be as prescribed in the Statutes or Ordinances.] | Potentially - disclosures concerning support for disability etc. | Article 9, S.2 (a), explicit consent<br>[Information provided by individual to University further to process and at data subject's own instigation. ]. |
| STUDENT ADMINISTRATION | Student Admission | The activities involved in admitting students to the institution. | Activities include: determining and applying admissions criteria; handling applications for admission; administering the clearing process; monitoring overall student numbers. | Records containing data on overall student numbers.             |     |  |  |  |

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| STUDENT ADMINISTRATION | Student Registration | The activities involved in registering students in academic programmes. | Activities include: advising students on selection of programmes and modules; confirming payment of fees, including validating evidence of awards which include payment of fees; providing information and advice on funding opportunities for students; issuing student (identification) cards. | Records documenting the registration of individual students on programmes.                  | Yes | Article 6 S.1 (b), necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract.<br>Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller.<br>[University Charter, S.3 (a) - To provide instruction in such-branches of learning as the University may think fit, whether for members of the University or for others, and to make provision for research and for the advancement and dissemination of knowledge in such a manner as the University may determine.<br>University Charter, S.3 (b) - To prescribe in the Ordinances of the University (hereinafter called 'the Ordinances') the conditions under which any person may be admitted as a student of the University or to any particular course of study provided by the University.<br>University Charter, S.3 (d)To admit any graduate of another University to a degree of equal or similar rank in the University.<br>University Charter, S.9 - The organisation and management of the academic disciplines of the University, and all matters pertaining thereto which the University may think proper to regulate, shall be as prescribed in the Statutes or Ordinances.] | Potentially - disclosures concerning support for disability etc. | Article 9, S.2 (a), explicit consent<br>[Information provided by individual to University further to process and at data subject's own instigation. ]. |
| STUDENT ADMINISTRATION | Student Registration | The activities involved in registering students in academic programmes. | Activities include: advising students on selection of programmes and modules; confirming payment of fees, including validating evidence of awards which include payment of fees; providing information and advice on funding opportunities for students; issuing student (identification) cards. | Records containing summaries and analyses of data on registration of students on programmes |     |  |  |  |

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| STUDENT ADMINISTRATION | Student Induction              | The activities involved in designing and organising induction programmes for new students.   | Activities include: developing student induction programmes (e.g. Freshers Week); organising programmed events; recruiting and organising staff and students to lead and support programmed events.   | Records documenting the design, conduct and review of induction programmes for new students. |     |   |   |   |
| STUDENT ADMINISTRATION | Student Induction              | The activities involved in designing and organising induction programmes for new students.   | Activities include: developing student induction programmes (e.g. Freshers Week); organising programmed events; recruiting and organising staff and students to lead and support programmed events.   | Records documenting the administration of induction programmes and events for new students.  |     |   |   |   |
| STUDENT ADMINISTRATION | Student Records Administration | The activities involved in 1) compiling and maintaining complete and accurate records of the progress, attainment and conduct of students throughout their relationship with the institution 2) making students' records, and aggregated student data and analyses available to departments to support other institutional activities. | Activities include: setting up student records for new students; collecting data and updating student records in accordance with institutional rules and regulations (e.g. data on criminal convictions); conducting standard analyses of data on students; conducting ad hoc analyses of data to meet specific requirements; distributing student records, and aggregated data and analyses, to departments in accordance with institutional rules and regulations and in compliance with legal restrictions on the collection, handling and use of personal data; producing transcripts for current and former students; confirming awards and providing general references for students; conducting First Destination Surveys. | Records containing personal data on individual students                                      | Yes | Article 6 S.1 (b), necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract. Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller. [University Charter, S.3 (a) - To provide instruction in such-branches of learning as the University may think fit, whether for members of the University or for others, and to make provision for research and for the advancement and dissemination of knowledge in such a manner as the University may determine. University Charter, S.3 (b) - To prescribe in the Ordinances of the University (hereinafter called 'the Ordinances') the conditions under which any person may be admitted as a student of the University or to any particular course of study provided by the University. University Charter, S.3 (d) To admit any graduate of another University to a degree of equal or similar rank in the University. University Charter, S.9 - The organisation and management of the academic disciplines of the | Potentially - disclosures concerning support for disability, helath conditions, mitigating circumstances etc. | Article 9, S.2 (a), explicit consent [Information provided by individual to University further to process and at data subject's own instigation. ]. |

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|                               |                                |  |   |   |  | University, and all matters pertaining thereto which the University may think proper to regulate, shall be as prescribed in the Statutes or Ordinances.] |  |  |
| <b>STUDENT ADMINISTRATION</b> | Student Records Administration | The activities involved in 1) compiling and maintaining complete and accurate records of the progress, attainment and conduct of students throughout their relationship with the institution 2) making students' records, and aggregated student data and analyses available to departments to support other institutional activities. | Activities include: setting up student records for new students; collecting data and updating student records in accordance with institutional rules and regulations (e.g. data on criminal convictions); conducting standard analyses of data on students; conducting ad hoc analyses of data to meet specific requirements; distributing student records, and aggregated data and analyses, to departments in accordance with institutional rules and regulations and in compliance with legal restrictions on the collection, handling and use of personal data; producing transcripts for current and former students; confirming awards and providing general references for students; conducting First Destination Surveys. | Records containing standard analyses of data from individual students' records. |  |  |  |  |



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| STUDENT ADMINISTRATION | Student Records Administration | The activities involved in 1) compiling and maintaining complete and accurate records of the progress, attainment and conduct of students throughout their relationship with the institution 2) making students' records, and aggregated student data and analyses available to departments to support other institutional activities. | Activities include: setting up student records for new students; collecting data and updating student records in accordance with institutional rules and regulations (e.g. data on criminal convictions); conducting standard analyses of data on students; conducting ad hoc analyses of data to meet specific requirements; distributing student records, and aggregated data and analyses, to departments in accordance with institutional rules and regulations and in compliance with legal restrictions on the collection, handling and use of personal data; producing transcripts for current and former students; confirming awards and providing general references for students; conducting First Destination Surveys. | Records documenting the handling of requests for ad hoc analyses of data from individual students' records. | Yes | Article 6 S.1 (b), necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract.Article 6 S.1 (c) necessary for compliance with a legal obligation to which the controller is subject.Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller.[University Charter, S.3 (a) - To provide instruction in such-branches of learning as the University may think fit, whether for members of the University or for others, and to make provision for research and for the advancement and dissemination of knowledge in such a manner as the University may determine.University Charter, S.3 (b) - To prescribe in the Ordinances of the University (hereinafter called 'the Ordinances') theconditions under which any person may be admitted as a student of the University or to anyparticular course of study provided by the University.University Charter, S.3 (d)To admit any graduate of another University to a degree of equal or similar rank in the University.University Charter, S.9 - The organisation and management of the academic disciplines of the University, and all matters pertaining thereto which the University may think proper to regulate, shall be as prescribed in the Statutes or Ordinances.] | Potentially - disclosures concerning support for disability, helath conditions, mitigating circumstances etc. | Article 9, S.2 (a), explicit consent[Information provided by individual to University further to process and at data subject's own instigation. ]. |
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|                               |                                |  | analyses, to departments in accordance with institutional rules and regulations and in compliance with legal restrictions on the collection, handling and use of personal data; producing transcripts for current and former students; confirming awards and providing general references for students; conducting First Destination Surveys.   |   |     |  |     |   |
| <b>STUDENT ADMINISTRATION</b> | Student Records Administration | The activities involved in 1) compiling and maintaining complete and accurate records of the progress, attainment and conduct of students throughout their relationship with the institution 2) making students' records, and aggregated student data and analyses available to departments to support other institutional activities. | Activities include: setting up student records for new students; collecting data and updating student records in accordance with institutional rules and regulations (e.g. data on criminal convictions); conducting standard analyses of data on students; conducting ad hoc analyses of data to meet specific requirements; distributing student records, and aggregated data and analyses, to departments in accordance with institutional rules and regulations and in compliance with legal restrictions on the collection, handling and use of personal data; producing transcripts for current and former students; confirming awards and providing general references for students; conducting First Destination Surveys. | First Destination Surveys: individual responses   | Yes | Article 6 S.1 (c), processing is necessary for compliance with a legal obligation to which the controller is subject.<br>[HESA requirements]<br>Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller. | Yes | Article 9, S.2 (g), processing is necessary for reasons of substantial public interest, on the basis of Union or Member State law which shall be proportionate to the aim pursued, respect the essence of the right to data protection and provide for suitable and specific measures to safeguard the fundamental rights and the interests of the data subject.<br>[HESA requirements]<br>Article 9, S.2 (j), processing is necessary for archiving purposes in the public interest, scientific or historical research purposes or statistical purposes in accordance with Article 89(1) based on Union or Member State law which shall be proportionate to the aim pursued, respect the essence of the right to data protection and provide for suitable and specific measures to safeguard the fundamental rights and the interests of the data subject. |
| <b>STUDENT ADMINISTRATION</b> | Student Records Administration | The activities involved in 1) compiling and maintaining complete and accurate records of the progress, attainment and conduct of students throughout their relationship with the institution 2) making students' records, and aggregated student data and analyses available to departments to support other institutional activities. | Activities include: setting up student records for new students; collecting data and updating student records in accordance with institutional rules and regulations (e.g. data on criminal convictions); conducting standard analyses of data on students; conducting ad hoc analyses of data to meet specific requirements; distributing student records, and aggregated data and analyses, to departments in   | Records containing (anonymised) summaries and analyses of the results of First Destination Surveys. |     |  |     |   |

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|                               |                                 |  | accordance with institutional rules and regulations and in compliance with legal restrictions on the collection, handling and use of personal data; producing transcripts for current and former students; confirming awards and providing general references for students; conducting First Destination Surveys.   |   |     |   |   |  |
| <b>STUDENT ADMINISTRATION</b> | Student Progress Administration | The activities involved in tracking the academic progress of students, administering changes to programmes of study and ensuring that correct procedures are followed. | Activities include: identifying and monitoring unsatisfactory academic performance and progress; administering transfers to new programmes and changes of modules within programmes; verifying that students have satisfied institutional regulations for awards; administering withdrawals from the institution; administering terminations of programmes. | Records documenting the academic progress of individual students and formal action taken by the institution to deal with unsatisfactory progress. | Yes | Article 6 S.1 (b), necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract.Article 6 S.1 (c) necessary for compliance with a legal obligation to which the controller is subject.Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller.[University Charter, S.3 (a) - To provide instruction in such-branches of learning as the University may think fit, whether for members of the University or for others, and to make provision for research and for the advancement and dissemination of knowledge in such a manner as the University may determine.University Charter, S.3 (o) - To prescribe rules for the discipline of the students of the University and to prescribe by Ordinance the procedure by which any infractions of discipline shall be investigated andjudged.University Charter, S.9 - The organisation and management of the academic disciplines of the University, and all matters pertaining thereto which the University may think proper to regulate, shall be as prescribed in the Statutes or Ordinances.] | Potentially - disclosures concerning support for disability, helath conditions, mitigating circumstances etc. | Article 9, S.2 (a), explicit consent[Information provided by individual to University further to process and at data subject's own instigation. ]. |

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| STUDENT ADMINISTRATION | Student Progress Administration | The activities involved in tracking the academic progress of students, administering changes to programmes of study and ensuring that correct procedures are followed. | Activities include: identifying and monitoring unsatisfactory academic performance and progress; administering transfers to new programmes and changes of modules within programmes; verifying that students have satisfied institutional regulations for awards; administering withdrawals from the institution; administering terminations of programmes. | Records documenting the withdrawal of individual students from the institution. | Yes | <p>Article 6 S.1 (b), processing is necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract.</p> <p>Article 6 S.1 (c), processing is necessary for compliance with a legal obligation to which the controller is subject.</p> <p>Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller.</p> <p>[University Charter, S.3 (a) - To provide instruction in such-branches of learning as the University may think fit, whether for members of the University or for others, and to make provision for research and for the advancement and dissemination of knowledge in such a manner as the University may determine.</p> <p>University Charter, S.3 (o) - To prescribe rules for the discipline of the students of the University and to prescribe by Ordinance the procedure by which any infractions of discipline shall be investigated and judged.</p> <p>University Charter, S.9 - The organisation and management of the academic disciplines of the University, and all matters pertaining thereto which the University may think proper to regulate, shall be as prescribed in the Statutes or Ordinances.]</p> | Potentially - disclosures concerning support for disability, helath conditions, mitigating circumstances etc. | Article 9, S.2 (a), explicit consent<br>[Information provided by individual to University further to process and at data subject's own instigation. ]. |
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| STUDENT ADMINISTRATION | Student Disciplinary Case Handling | The activities involved in conducting disciplinary proceedings against students for breaches of the institution's academic regulations or for misconduct. | Activities include: investigating allegations against students; informing students of disciplinary decisions and imposing penalties; considering appeals by students against disciplinary decisions or penalties imposed. | Records documenting the conduct and results of disciplinary proceedings against individual students. | Yes | Article 6 S.1 (b), processing is necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract.<br>Article 6 S.1 (c), processing is necessary for compliance with a legal obligation to which the controller is subject.<br>Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller.<br>[University Charter, S.3 (a) - To provide instruction in such-branches of learning as the University may think fit, whether for members of the University or for others, and to make provision for research and for the advancement and dissemination of knowledge in such a manner as the University may determine.<br>University Charter, S.3 (o) - To prescribe rules for the discipline of the students of the University and to prescribe by Ordinance the procedure by which any infractions of discipline shall be investigated and judged.<br>University Charter, S.9 - The organisation and management of the academic disciplines of the University, and all matters pertaining thereto which the University may think proper to regulate, shall be as prescribed in the Statutes or Ordinances.] | Potentially - disclosures concerning support for disability, helath conditions, mitigating circumstances etc. | Article 9, S.2 (a), explicit consent<br>[Information provided by individual to University further to process and at data subject's own instigation. ]. |
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| STUDENT ADMINISTRATION | Student Academic Appeal Handling | The activities involved in handling appeals by students against academic decisions. | Activities include: reviewing original marks; considering mitigating circumstances; informing students of decisions on appeals. | Records documenting the handling and results of academic appeals by individual students. | Yes | Article 6 S.1 (b), processing is necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract.Article 6 S.1 (c), processing is necessary for compliance with a legal obligation to which the controller is subject.Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller.[University Charter, S.3 (a) - To provide instruction in such-branches of learning as the University may think fit, whether for members of the University or for others, and to make provision for research and for the advancement and dissemination of knowledge in such a manner as the University may determine.University Charter, S.3 (o) - To prescribe rules for the discipline of the students of the University and to prescribe by Ordinance the procedure by which any infractions of discipline shall be investigated andjudged. University Charter, S.9 - The organisation and management of the academic disciplines of the University, and all matters pertaining thereto which the University may think proper to regulate, shall be as prescribed in the Statutes or Ordinances.] | Potentially - disclosures concerning support for disability, helath conditions, mitigating circumstances etc. | Article 9, S.2 (a), explicit consent[Information provided by individual to University further to process and at data subject's own instigation. ]. |
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| STUDENT ADMINISTRATION | Student Complaint Handling | The activities involved in handling formal complaints by students against the institution. | Activities include: reviewing student complaints; informing students of decisions on complaints; referring student complaints for independent review by the Office of the Independent Adjudicator for Higher Education. | Records documenting the handling of formal complaints made by individual students against the institution. | Yes | <p>Article 6 S.1 (b), processing is necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract.</p> <p>Article 6 S.1 (c), processing is necessary for compliance with a legal obligation to which the controller is subject.</p> <p>Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller.</p> <p>[University Charter, S.3 (a) - To provide instruction in such-branches of learning as the University may think fit, whether for members of the University or for others, and to make provision for research and for the advancement and dissemination of knowledge in such a manner as the University may determine.</p> <p>University Charter, S.3 (o) - To prescribe rules for the discipline of the students of the University and to prescribe by Ordinance the procedure by which any infractions of discipline shall be investigated and judged.]</p> <p>Article 6 S.1 (c), processing is necessary for compliance with a legal obligation to which the controller is subject.</p> <p>[SPSO requirements.]</p> | Potentially - disclosures concerning support for disability, helath conditions, mitigating circumstances etc. | <p>Article 9, S.2 (a), explicit consent<br/>[Information provided by individual to University further to process and at data subject's own instigation. ].</p> <p>Article 9, S.2 (g), processing is necessary for reasons of substantial public interest, on the basis of Union or Member State law which shall be proportionate to the aim pursued, respect the essence of the right to data protection and provide for suitable and specific measures to safeguard the fundamental rights and the interests of the data subject.</p> <p>SPSO requirements]</p> |
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| <b>STUDENT ADMINISTRATION</b>            | Student Complaint Handling                           | The activities involved in handling formal complaints by students against the institution.                                      | Activities include: reviewing student complaints; informing students of decisions on complaints; referring student complaints for independent review by the Office of the Independent Adjudicator for Higher Education.   | Records documenting the handling of complaints by individual students where the formal complaints procedure is not initiated.       | Yes | Article 6 S.1 (b), processing is necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract. Article 6 S.1 (c), processing is necessary for compliance with a legal obligation to which the controller is subject. Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller. [University Charter, S.3 (a) - To provide instruction in such-branches of learning as the University may think fit, whether for members of the University or for others, and to make provision for research and for the advancement and dissemination of knowledge in such a manner as the University may determine. University Charter, S.3 (o) - To prescribe rules for the discipline of the students of the University and to prescribe by Ordinance the procedure by which any infractions of discipline shall be investigated and judged.] Article 6 S.1 (c), processing is necessary for compliance with a legal obligation to which the controller is subject. [SPSO requirements] | Potentially - disclosures concerning support for disability, helath conditions, mitigating circumstances etc. | Article 9, S.2 (a), explicit consent [Information provided by individual to University further to process and at data subject's own instigation. ]. Article 9, S.2 (g), processing is necessary for reasons of substantial public interest, on the basis of Union or Member State law which shall be proportionate to the aim pursued, respect the essence of the right to data protection and provide for suitable and specific measures to safeguard the fundamental rights and the interests of the data subject. SPSO requirements] |
| <b>ACADEMIC PROGRAMME ADMINISTRATION</b> |  | The function of administering the delivery of the institution's academic programmes.  |   |   |     |   |   |   |
| <b>ACADEMIC PROGRAMME ADMINISTRATION</b> | Academic Programme Administration Policy Development | The activities involved in developing and establishing the institution's policies on the administration of academic programmes. | Activities include: identifying requirements for new/revised policy; undertaking research; developing policy proposals; consulting on policy proposals; reviewing and revising policy proposals in the light of comments received; drafting policy documents; consulting on policy documents; reviewing draft policy documents in | Records documenting the development and establishment of the institution's academic programme administration policies: key records. |     |   |   |   |

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|  |   |   | the light of comments received; producing final policy documents; submitting final policy documents for formal approval; formally approving policy documents; disseminating policy documents; reviewing policy.   |  |  |  |  |  |
| <b>ACADEMIC PROGRAMME ADMINISTRATION</b> | Academic Programme Administration Policy Development    | The activities involved in developing and establishing the institution's policies on the administration of academic programmes. | Activities include: identifying requirements for new/revised policy; undertaking research; developing policy proposals; consulting on policy proposals; reviewing and revising policy proposals in the light of comments received; drafting policy documents; consulting on policy documents; reviewing draft policy documents in the light of comments received; producing final policy documents; submitting final policy documents for formal approval; formally approving policy documents; disseminating policy documents; reviewing policy. | Records documenting the development and establishment of the institution's academic programme administration policies: working papers. |  |  |  |  |
| <b>ACADEMIC PROGRAMME ADMINISTRATION</b> | Academic Programme Administration Procedure Development | The activities involved in developing the institution's procedures for the administration of academic programmes.               | Activities include: identifying needs for new/revised procedure; undertaking research; analysing work processes; drafting procedure documents; consulting on procedure documents; reviewing draft procedure documents in the light of comments received; trialling procedure; refining procedure as a result of trials; submitting final procedure documents for formal approval; formally approving procedure documents; disseminating procedure documents; reviewing procedure.   | Records documenting the development of the institution's procedures relating to academic programme administration.                     |  |  |  |  |
| <b>ACADEMIC PROGRAMME ADMINISTRATION</b> | Academic Programme Administration Procedure Development | The activities involved in developing the institution's procedures for the administration of academic programmes.               | Activities include: identifying needs for new/revised procedure; undertaking research; analysing work processes; drafting procedure documents; consulting on procedure documents; reviewing draft procedure documents in the light of comments received;  | Master copies of procedures relating to academic programme administration.   |  |  |  |  |

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|  |  |   | trialling procedure; refining procedure as a result of trials; submitting final procedure documents for formal approval; formally approving procedure documents; disseminating procedure documents; reviewing procedure.  |  |  |  |  |  |
| <b>ACADEMIC PROGRAMME ADMINISTRATION</b> | Academic Programme Co-ordination                 | The activities involved in co-ordinating the delivery of academic programmes.   | Activities include: timetabling teaching; compiling class and tutorial lists; scheduling the submission, marking and return of assessed work, and monitoring compliance with these schedules; monitoring students' attendance; organising required work placements; issuing attendance certificates for postgraduate research students.   | Records documenting the administration of academic programmes.   |  |  |  |  |
| <b>ACADEMIC AWARD ADMINISTRATION</b>     |  | The function of administering the conferment of the institution's academic awards.                                      |   |  |  |  |  |  |
| <b>ACADEMIC AWARD ADMINISTRATION</b>     | Academic Award Administration Policy Development | The activities involved in developing and establishing the institution's policies on the conferment of academic awards. | Activities include: identifying requirements for new/revised policy; undertaking research; developing policy proposals; consulting on policy proposals; reviewing and revising policy proposals in the light of comments received; drafting policy documents; consulting on policy documents; reviewing draft policy documents in the light of comments received; producing final policy documents; submitting final policy documents for formal approval; formally approving policy documents; disseminating policy documents; reviewing policy. | Records documenting the development and establishment of the institution's academic award administration policies: key records.    |  |  |  |  |
| <b>ACADEMIC AWARD ADMINISTRATION</b>     | Academic Award Administration Policy Development | The activities involved in developing and establishing the institution's policies on the conferment of academic awards. | Activities include: identifying requirements for new/revised policy; undertaking research; developing policy proposals; consulting on policy proposals; reviewing and revising policy proposals in the light of comments received; drafting policy documents; consulting on   | Records documenting the development and establishment of the institution's academic award administration policies: working papers. |  |  |  |  |

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|                                      |   |   | policy documents; reviewing draft policy documents in the light of comments received; producing final policy documents; submitting final policy documents for formal approval; formally approving policy documents; disseminating policy documents; reviewing policy.   |  |  |  |  |  |
| <b>ACADEMIC AWARD ADMINISTRATION</b> | Academic Award Administration Procedure Development | The activities involved in developing the institution's procedures for the conferment of academic awards. | Activities include: identifying needs for new/revised procedure; undertaking research; analysing work processes; drafting procedure documents; consulting on procedure documents; reviewing draft procedure documents in the light of comments received; trialling procedure; refining procedure as a result of trials; submitting final procedure documents for formal approval; formally approving procedure documents; disseminating procedure documents; reviewing procedure. | Records documenting the development of the institution's procedures relating to academic award administration. |  |  |  |  |
| <b>ACADEMIC AWARD ADMINISTRATION</b> | Academic Award Administration Procedure Development | The activities involved in developing the institution's procedures for the conferment of academic awards. | Activities include: identifying needs for new/revised procedure; undertaking research; analysing work processes; drafting procedure documents; consulting on procedure documents; reviewing draft procedure documents in the light of comments received; trialling procedure; refining procedure as a result of trials; submitting final procedure documents for formal approval; formally approving procedure documents; disseminating procedure documents; reviewing procedure. | Master copies of procedures relating to academic award administration.   |  |  |  |  |

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| ACADEMIC AWARD<br>ADMINISTRATION | Academic Award<br>Conferment | The activities involved in administering the conferment of the institution's academic awards. | <p>For awards to students, activities include: issuing lists and individual notifications of awards; organising the production of awards certificates; issuing awards certificates to students who do not attend awards ceremonies.</p> <p>For honorary awards, activities include: inviting and receiving nominations for honorary awards; considering nominations for honorary awards and preparing recommendations for submission to the appropriate committee; issuing offers of awards and handling responses.</p> | Records documenting the notification of awards to students and the issue of awards certificates. | Yes | <p>Article 6 S.1 (b), processing is necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract.</p> <p>Article 6 S.1 (c), processing is necessary for compliance with a legal obligation to which the controller is subject.</p> <p>Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller.</p> <p>[University Charter, S.3 (c) - To grant, under conditions laid down in the Statutes or Ordinances, a degree, diploma, certificate or other academic award to any person who shall have pursued a course of study approved by the University and shall have passed the examinations or other tests prescribed by the University.</p> <p>University Charter, S.3 (e) - To grant, under conditions laid down in the Statutes or Ordinances, any degree of the University to any person who holds office in the University or who shall have carried on research therein.</p> <p>University Charter, S.3 (f) - To grant to any approved person, under conditions laid down in the Statutes or Ordinances, an honorary degree or other academic award.</p> <p>University Charter, S.9 - The organisation and management of the academic disciplines of the University, and all matters pertaining thereto which the University may think proper to regulate, shall be as prescribed in the Statutes or Ordinances.]</p> |  |  |
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| ACADEMIC AWARD<br>ADMINISTRATION | Academic Award<br>Conferment | The activities involved in administering the conferment of the institution's academic awards. | <p>For awards to students, activities include: issuing lists and individual notifications of awards; organising the production of awards certificates; issuing awards certificates to students who do not attend awards ceremonies.</p> <p>For honorary awards, activities include: inviting and receiving nominations for honorary awards; considering nominations for honorary awards and preparing recommendations for submission to the appropriate committee; issuing offers of awards and handling responses.</p> | Records documenting the process of inviting, receiving and considering nominations for honorary awards. | Yes | Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller.<br>[University Charter, S.3 (f) - To grant to any approved person, under conditions laid down in the Statutes or Ordinances, an honorary degree or other academic award.] |  |  |
| ACADEMIC AWARD<br>ADMINISTRATION | Academic Award<br>Conferment | The activities involved in administering the conferment of the institution's academic awards. | <p>For awards to students, activities include: issuing lists and individual notifications of awards; organising the production of awards certificates; issuing awards certificates to students who do not attend awards ceremonies.</p> <p>For honorary awards, activities include: inviting and receiving nominations for honorary awards; considering nominations for honorary awards and preparing recommendations for submission to the appropriate committee; issuing offers of awards and handling responses.</p> | Records documenting offers of honorary awards and responses received.                                   | Yes | Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller.<br>[University Charter, S.3 (f) - To grant to any approved person, under conditions laid down in the Statutes or Ordinances, an honorary degree or other academic award.] |  |  |

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| ACADEMIC AWARD<br>ADMINISTRATION | Award Ceremony<br>Administration | The activities involved in<br>organising awards<br>ceremonies. | Activities include:<br>determining dates, times<br>and venues for ceremonies;<br>planning ceremonies; issuing<br>invitations and/or tickets for<br>ceremonies; designing<br>programmes for ceremonies<br>and arranging production<br>and distribution; organising<br>official photography of<br>ceremonies; organising<br>media coverage of<br>ceremonies. | Records documenting the<br>organisation of award<br>ceremonies. | Yes | Article 6 S.1 (b), processing<br>is necessary for the<br>performance of a contract<br>to which the data subject is<br>party or in order to take<br>steps at the request of the<br>data subject prior to<br>entering into a contract.<br>Article 6 S.1 (e), necessary<br>for the performance of a<br>task carried out in the public<br>interest or in the exercise of<br>official authority vested in<br>the controller.<br>[University Charter, S.3 (c) -<br>To grant, under conditions<br>laid down in the Statutes or<br>Ordinances, a degree,<br>diploma,<br>certificate or other<br>academic award to any<br>person who shall have<br>pursued a course of study<br>approved by the University<br>and shall have passed the<br>examinations or other tests<br>prescribed by the University.<br>University Charter, S.3 (e) -<br>To grant, under conditions<br>laid down in the Statutes or<br>Ordinances, any degree of<br>the<br>University to any person<br>who holds office in the<br>University or who shall have<br>carried on research therein.<br>University Charter, S.3 (f) -<br>To grant to any approved<br>person, under conditions<br>laid down in the Statutes or<br>Ordinances, an honorary<br>degree or other academic<br>award.] |  |  |
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| ACADEMIC AWARD<br>ADMINISTRATION | Award Ceremony<br>Administration | The activities involved in<br>organising awards<br>ceremonies. | Activities include:<br>determining dates, times<br>and venues for ceremonies;<br>planning ceremonies; issuing<br>invitations and/or tickets for<br>ceremonies; designing<br>programmes for ceremonies<br>and arranging production<br>and distribution; organising<br>official photography of<br>ceremonies; organising<br>media coverage of<br>ceremonies. | Records documenting the<br>production of award<br>certificates. | Yes | <p>Article 6 S.1 (b), processing is necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract.</p> <p>Article 6 S.1 (c), processing is necessary for compliance with a legal obligation to which the controller is subject.</p> <p>Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller.</p> <p>[University Charter, S.3 (c) - To grant, under conditions laid down in the Statutes or Ordinances, a degree, diploma, certificate or other academic award to any person who shall have pursued a course of study approved by the University and shall have passed the examinations or other tests prescribed by the University.</p> <p>University Charter, S.3 (e) - To grant, under conditions laid down in the Statutes or Ordinances, any degree of the</p> <p>University to any person who holds office in the University or who shall have carried on research therein.</p> <p>University Charter, S.3 (f) - To grant to any approved person, under conditions laid down in the Statutes or Ordinances, an honorary degree or other academic award.]</p> |  |  |
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| <b>ACADEMIC AWARD ADMINISTRATION</b>     | Award Ceremony Administration                         | The activities involved in organising awards ceremonies.  | Activities include: determining dates, times and venues for ceremonies; planning ceremonies; issuing invitations and/or tickets for ceremonies; designing programmes for ceremonies and arranging production and distribution; organising official photography of ceremonies; organising media coverage of ceremonies.            | Records documenting the mailing of award certificates to students who do not attend ceremonies.                                      | Yes | Article 6 S.1 (b), processing is necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract.Article 6 S.1 (c), processing is necessary for compliance with a legal obligation to which the controller is subject.Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller.[University Charter, S.3 (c) - To grant, under conditions laid down in the Statutes or Ordinances, a degree, diploma,certificate or other academic award to any person who shall have pursued a course of study approved by the University and shall have passed the examinations or other tests prescribed by the University.University Charter, S.3 (e) - To grant, under conditions laid down in the Statutes or Ordinances, any degree of theUniversity to any person who holds office in the University or who shall have carried on research therein.University Charter, S.3 (f) -To grant to any approved person, under conditions laid down in the Statutes or Ordinances, an honorary degree or other academic award.] |  |  |
| <b>STUDENT ASSESSMENT ADMINISTRATION</b> |   | The function of administering the conduct of student assessment.  |   |  |     |   |  |  |
| <b>STUDENT ASSESSMENT ADMINISTRATION</b> | Academic Assessment Administration Policy Development | The activities involved in developing and establishing the institution's policies on the conduct of academic assessments. | Activities include: identifying requirements for new/revised policy; undertaking research; developing policy proposals; consulting on policy proposals; reviewing and revising policy proposals in the light of comments received; drafting policy documents; consulting on policy documents; reviewing draft policy documents in | Records documenting the development and establishment of the institution's academic assessment administration policies: key records. |     |   |  |  |

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|  |  |   | the light of comments received; producing final policy documents; submitting final policy documents for formal approval; formally approving policy documents; disseminating policy documents; reviewing policy.   |   |  |  |  |  |
| <b>STUDENT ASSESSMENT ADMINISTRATION</b> | Academic Assessment Administration Policy Development    | The activities involved in developing and establishing the institution's policies on the conduct of academic assessments. | Activities include: identifying requirements for new/revised policy; undertaking research; developing policy proposals; consulting on policy proposals; reviewing and revising policy proposals in the light of comments received; drafting policy documents; consulting on policy documents; reviewing draft policy documents in the light of comments received; producing final policy documents; submitting final policy documents for formal approval; formally approving policy documents; disseminating policy documents; reviewing policy. | Records documenting the development and establishment of the institution's academic assessment administration policies: working papers. |  |  |  |  |
| <b>STUDENT ASSESSMENT ADMINISTRATION</b> | Academic Assessment Administration Procedure Development | The activities involved in developing the institution's procedures for the conduct of academic assessments.               | Activities include: identifying needs for new/revised procedure; undertaking research; analysing work processes; drafting procedure documents; consulting on procedure documents; reviewing draft procedure documents in the light of comments received; trialling procedure; refining procedure as a result of trials; submitting final procedure documents for formal approval; formally approving procedure documents; disseminating procedure documents; reviewing procedure.   | Records documenting the development of the institution's procedures relating to academic assessment administration.                     |  |  |  |  |
| <b>STUDENT ASSESSMENT ADMINISTRATION</b> | Academic Assessment Administration Procedure Development | The activities involved in developing the institution's procedures for the conduct of academic assessments.               | Activities include: identifying needs for new/revised procedure; undertaking research; analysing work processes; drafting procedure documents; consulting on procedure documents; reviewing draft procedure documents in the light of comments received;  | Master copies of procedures relating to academic assessment administration.   |  |  |  |  |

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|  |                                  |  | trialling procedure; refining procedure as a result of trials; submitting final procedure documents for formal approval; formally approving procedure documents; disseminating procedure documents; reviewing procedure. |  |     |  |  |  |
| <b>STUDENT ASSESSMENT ADMINISTRATION</b> | External Examiner Administration | The activities involved in recruiting, appointing and supporting external examiners. | Activities include: recruiting and appointing external examiners; liaising with external examiners on administrative matters (e.g. accommodation, expenses).   | Records documenting the selection and appointment of external examiners. | Yes | Article 6 S.1 (b), processing is necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract.<br>Article 6 S.1 (c), processing is necessary for compliance with a legal obligation to which the controller is subject.<br>Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller.<br>[University Charter, S.3 (c) - To grant, under conditions laid down in the Statutes or Ordinances, a degree, diploma, certificate or other academic award to any person who shall have pursued a course of study approved by the University and shall have passed the examinations or other tests prescribed by the University.<br>University Charter, S.3 (n) - To institute such offices as the purposes of the University may require, to appoint persons to and to remove them from such offices, and to prescribe their terms and conditions of service.<br>University Charter, S.9 - The organisation and management of the academic disciplines of the University, and all matters pertaining thereto which the University may think proper to regulate, shall be as prescribed in the Statutes or Ordinances.] |  |  |

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| <b>STUDENT ASSESSMENT<br/>ADMINISTRATION</b> | External Examiner<br>Administration | The activities involved in<br>recruiting, appointing and<br>supporting external<br>examiners. | Activities include: recruiting<br>and appointing external<br>examiners; liaising with<br>external examiners on<br>administrative matters (e.g.<br>accommodation, expenses). | Records documenting liaison<br>with external examiners on<br>administrative matters. | Yes | <p>Article 6 S.1 (b), processing is necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract.</p> <p>Article 6 S.1 (c), processing is necessary for compliance with a legal obligation to which the controller is subject.</p> <p>Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller.</p> <p>[University Charter, S.3 (c) - To grant, under conditions laid down in the Statutes or Ordinances, a degree, diploma, certificate or other academic award to any person who shall have pursued a course of study approved by the University and shall have passed the examinations or other tests prescribed by the University.</p> <p>University Charter, S.3 (n) - To institute such offices as the purposes of the University may require, to appoint persons to and to remove them from such offices, and to prescribe their terms and conditions of service.</p> <p>University Charter, S.9 - The organisation and management of the academic disciplines of the University, and all matters pertaining thereto which the University may think proper to regulate, shall be as prescribed in the Statutes or Ordinances.]</p> |  |  |
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| <b>STUDENT ASSESSMENT ADMINISTRATION</b> | Assessment Administration | The activities involved in administering assessments. | Activities include: appointing and training examination invigilators; controlling examination materials; timetabling examinations; organising examination facilities (including arrangements for students with disabilities); monitoring attendance at examinations and reporting mitigating circumstances and absences to academic departments; administering the marking of examination scripts; collating examination results; issuing pass lists and individual notifications of examination results; monitoring submission of assessed coursework and reporting problems to academic departments; administering the submission and examination of postgraduate theses. | Records documenting the selection and appointment of examination invigilators.        | Yes | Article 6 S.1 (b), processing is necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract.Article 6 S.1 (c), processing is necessary for compliance with a legal obligation to which the controller is subject.Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller.[University Charter, S.3 (c) - To grant, under conditions laid down in the Statutes or Ordinances, a degree, diploma,certificate or other academic award to any person who shall have pursued a course of study approved by the University and shall have passed the examinations or other tests prescribed by the University.University Charter, S.3 (n) - To institute such offices as the purposes of the University may require, to appoint persons to and to remove them from such offices, and to prescribe their terms and conditions of service.University Charter, S.9 - The organisation and management of the academic disciplines of the University, and all matters pertaining thereto which the University may think proper to regulate, shall be as prescribed in the Statutes or Ordinances.] |  |  |
| <b>STUDENT ASSESSMENT ADMINISTRATION</b> | Assessment Administration | The activities involved in administering assessments. | Activities include: appointing and training examination invigilators; controlling examination materials; timetabling examinations; organising examination facilities (including arrangements for students with disabilities); monitoring attendance at examinations and reporting mitigating circumstances and absences to academic   | Records documenting the design and delivery of training for examination invigilators. |     |   |  |  |



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|  |                           |   | departments; administering the marking of examination scripts; collating examination results; issuing pass lists and individual notifications of examination results; monitoring submission of assessed coursework and reporting problems to academic departments; administering the submission and examination of postgraduate theses.   |  |  |  |  |  |
| <b>STUDENT ASSESSMENT ADMINISTRATION</b> | Assessment Administration | The activities involved in administering assessments. | Activities include: appointing and training examination invigilators; controlling examination materials; timetabling examinations; organising examination facilities (including arrangements for students with disabilities); monitoring attendance at examinations and reporting mitigating circumstances and absences to academic departments; administering the marking of examination scripts; collating examination results; issuing pass lists and individual notifications of examination results; monitoring submission of assessed coursework and reporting problems to academic departments; administering the submission and examination of postgraduate theses. | Records documenting the control of examination papers and examination scripts. |  |  |  |  |

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| <b>STUDENT ASSESSMENT<br/>ADMINISTRATION</b> | Assessment Administration | The activities involved in administering assessments. | Activities include:<br>appointing and training examination invigilators; controlling examination materials; timetabling examinations; organising examination facilities (including arrangements for students with disabilities); monitoring attendance at examinations and reporting mitigating circumstances and absences to academic departments; administering the marking of examination scripts; collating examination results; issuing pass lists and individual notifications of examination results; monitoring submission of assessed coursework and reporting problems to academic departments; administering the submission and examination of postgraduate theses. | Records documenting the timetabling of examinations. | Yes | <p>Article 6 S.1 (b), processing is necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract.</p> <p>Article 6 S.1 (c), processing is necessary for compliance with a legal obligation to which the controller is subject.</p> <p>Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller.</p> <p>[University Charter, S.3 (c) - To grant, under conditions laid down in the Statutes or Ordinances, a degree, diploma, certificate or other academic award to any person who shall have pursued a course of study approved by the University and shall have passed the examinations or other tests prescribed by the University.</p> <p>University Charter, S.3 (n) - To institute such offices as the purposes of the University may require, to appoint persons to and to remove them from such offices, and to prescribe their terms and conditions of service.</p> <p>University Charter, S.9 - The organisation and management of the academic disciplines of the University, and all matters pertaining thereto which the University may think proper to regulate, shall be as prescribed in the Statutes or Ordinances.]</p> |  |  |
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| <b>STUDENT ASSESSMENT<br/>ADMINISTRATION</b> | Assessment Administration | The activities involved in administering assessments. | Activities include:<br>appointing and training examination invigilators; controlling examination materials; timetabling examinations; organising examination facilities (including arrangements for students with disabilities); monitoring attendance at examinations and reporting mitigating circumstances and absences to academic departments; administering the marking of examination scripts; collating examination results; issuing pass lists and individual notifications of examination results; monitoring submission of assessed coursework and reporting problems to academic departments; administering the submission and examination of postgraduate theses. | Records documenting the organisation of examination facilities, including special arrangements for students with special needs. | Yes | Article 6 S.1 (b), processing is necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract.<br>Article 6 S.1 (c), processing is necessary for compliance with a legal obligation to which the controller is subject.<br>Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller.<br>[University Charter, S.3 (c) - To grant, under conditions laid down in the Statutes or Ordinances, a degree, diploma, certificate or other academic award to any person who shall have pursued a course of study approved by the University and shall have passed the examinations or other tests prescribed by the University.<br>University Charter, S.9 - The organisation and management of the academic disciplines of the University, and all matters pertaining thereto which the University may think proper to regulate, shall be as prescribed in the Statutes or Ordinances.] | Yes | Article 9, S.2 (a), explicit consent<br>[Information provided by individual to University further to process and at data subject's own instigation. ]. |
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| <b>STUDENT ASSESSMENT<br/>ADMINISTRATION</b> | Assessment Administration | The activities involved in administering assessments. | Activities include:<br>appointing and training examination invigilators; controlling examination materials; timetabling examinations; organising examination facilities (including arrangements for students with disabilities); monitoring attendance at examinations and reporting mitigating circumstances and absences to academic departments; administering the marking of examination scripts; collating examination results; issuing pass lists and individual notifications of examination results; monitoring submission of assessed coursework and reporting problems to academic departments; administering the submission and examination of postgraduate theses. | Records documenting individual students' attendance at examinations, and the handling of reports of mitigating circumstances. | Yes | Article 6 S.1 (b), processing is necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract.<br>Article 6 S.1 (c), processing is necessary for compliance with a legal obligation to which the controller is subject.<br>Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller.<br>[University Charter, S.3 (c) - To grant, under conditions laid down in the Statutes or Ordinances, a degree, diploma, certificate or other academic award to any person who shall have pursued a course of study approved by the University and shall have passed the examinations or other tests prescribed by the University.<br>University Charter, S.9 - The organisation and management of the academic disciplines of the University, and all matters pertaining thereto which the University may think proper to regulate, shall be as prescribed in the Statutes or Ordinances.] | Yes | Article 9, S.2 (a), explicit consent<br>[Information provided by individual to University further to process and at data subject's own instigation. ]. |
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| <b>STUDENT ASSESSMENT<br/>ADMINISTRATION</b> | Assessment Administration | The activities involved in administering assessments. | Activities include: appointing and training examination invigilators; controlling examination materials; timetabling examinations; organising examination facilities (including arrangements for students with disabilities); monitoring attendance at examinations and reporting mitigating circumstances and absences to academic departments; administering the marking of examination scripts; collating examination results; issuing pass lists and individual notifications of examination results; monitoring submission of assessed coursework and reporting problems to academic departments; administering the submission and examination of postgraduate theses. | Records documenting the collation of examination results and compilation of pass lists and individual notifications of results. | Yes | Article 6 S.1 (b), processing is necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract.Article 6 S.1 (c), processing is necessary for compliance with a legal obligation to which the controller is subject.Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller.[University Charter, S.3 (c) - To grant, under conditions laid down in the Statutes or Ordinances, a degree, diploma,certificate or other academic award to any person who shall have pursued a course of study approved by the University and shall have passed the examinations or other tests prescribed by the University.University Charter, S.9 - The organisation and management of the academic disciplines of the University, and all matters pertaining thereto which the University may think proper to regulate, shall be as prescribed in the Statutes or Ordinances.] |  |  |
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| <b>STUDENT ASSESSMENT<br/>ADMINISTRATION</b> | Assessment Administration | The activities involved in administering assessments. | Activities include:<br>appointing and training examination invigilators; controlling examination materials; timetabling examinations; organising examination facilities (including arrangements for students with disabilities); monitoring attendance at examinations and reporting mitigating circumstances and absences to academic departments; administering the marking of examination scripts; collating examination results; issuing pass lists and individual notifications of examination results; monitoring submission of assessed coursework and reporting problems to academic departments; administering the submission and examination of postgraduate theses. | Records documenting individual students' submission of assessed work and handling of reports of mitigating circumstances. | Yes | Article 6 S.1 (b), processing is necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract.<br>Article 6 S.1 (c), processing is necessary for compliance with a legal obligation to which the controller is subject.<br>Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller.<br>[University Charter, S.3 (c) - To grant, under conditions laid down in the Statutes or Ordinances, a degree, diploma, certificate or other academic award to any person who shall have pursued a course of study approved by the University and shall have passed the examinations or other tests prescribed by the University.<br>University Charter, S.9 - The organisation and management of the academic disciplines of the University, and all matters pertaining thereto which the University may think proper to regulate, shall be as prescribed in the Statutes or Ordinances.] | Yes | Article 9, S.2 (a), explicit consent<br>[Information provided by individual to University further to process and at data subject's own instigation. ]. |
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| <b>STUDENT ASSESSMENT<br/>ADMINISTRATION</b> | Assessment Administration | The activities involved in administering assessments. | Activities include:<br>appointing and training examination invigilators; controlling examination materials; timetabling examinations; organising examination facilities (including arrangements for students with disabilities); monitoring attendance at examinations and reporting mitigating circumstances and absences to academic departments; administering the marking of examination scripts; collating examination results; issuing pass lists and individual notifications of examination results; monitoring submission of assessed coursework and reporting problems to academic departments; administering the submission and examination of postgraduate theses. | Records documenting the issue of awards lists and individual notifications of awards. | Yes | Article 6 S.1 (b), processing is necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract.<br>Article 6 S.1 (c), processing is necessary for compliance with a legal obligation to which the controller is subject.<br>Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller.<br>[University Charter, S.3 (c) - To grant, under conditions laid down in the Statutes or Ordinances, a degree, diploma, certificate or other academic award to any person who shall have pursued a course of study approved by the University and shall have passed the examinations or other tests prescribed by the University.<br>University Charter, S.9 - The organisation and management of the academic disciplines of the University, and all matters pertaining thereto which the University may think proper to regulate, shall be as prescribed in the Statutes or Ordinances.] | Yes | Article 9, S.2 (a), explicit consent<br>[Information provided by individual to University further to process and at data subject's own instigation. ]. |
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| <b>STUDENT ASSESSMENT ADMINISTRATION</b> | Assessment Administration        | The activities involved in administering assessments.                                     | Activities include: appointing and training examination invigilators; controlling examination materials; timetabling examinations; organising examination facilities (including arrangements for students with disabilities); monitoring attendance at examinations and reporting mitigating circumstances and absences to academic departments; administering the marking of examination scripts; collating examination results; issuing pass lists and individual notifications of examination results; monitoring submission of assessed coursework and reporting problems to academic departments; administering the submission and examination of postgraduate theses. | Pass Lists/Awards lists                                       | Yes | Article 6 S.1 (b), processing is necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract. Article 6 S.1 (c), processing is necessary for compliance with a legal obligation to which the controller is subject. Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller. [University Charter, S.3 (c) - To grant, under conditions laid down in the Statutes or Ordinances, a degree, diploma, certificate or other academic award to any person who shall have pursued a course of study approved by the University and shall have passed the examinations or other tests prescribed by the University. University Charter, S.9 - The organisation and management of the academic disciplines of the University, and all matters pertaining thereto which the University may think proper to regulate, shall be as prescribed in the Statutes or Ordinances.] | Yes | Article 9, S.2 (a), explicit consent [Information provided by individual to University further to process and at data subject's own instigation. ]. |
| <b>STUDENT ASSESSMENT ADMINISTRATION</b> | Examination Board Administration | The activities involved in administering the work of Boards of Examiners (or equivalent). | Activities include: arranging Board meetings; preparing papers for Board meetings; recording decisions of Board meetings; taking/co-ordinating action to be carried out as a result of Board decisions.   | Records documenting the arrangements for meetings of a Board. |     |  |     |   |



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| <b>STUDENT ASSESSMENT<br/>ADMINISTRATION</b> | Examination Board<br>Administration | The activities involved in<br>administering the work of<br>Boards of Examiners (or<br>equivalent). | Activities include: arranging<br>Board meetings; preparing<br>papers for Board meetings;<br>recording decisions of Board<br>meetings; taking/co-<br>ordinating action to be<br>carried out as a result of<br>Board decisions. | Records documenting the<br>conduct of the business of a<br>committee: agenda,<br>minutes and papers. | Yes | Article 6 S.1 (b), processing<br>is necessary for the<br>performance of a contract<br>to which the data subject is<br>party or in order to take<br>steps at the request of the<br>data subject prior to<br>entering into a contract.<br>Article 6 S.1 (c), processing is<br>necessary for compliance<br>with a legal obligation to<br>which the controller is<br>subject.<br>Article 6 S.1 (e), necessary<br>for the performance of a<br>task carried out in the public<br>interest or in the exercise of<br>official authority vested in<br>the controller.<br>[University Charter, S.3 (c) -<br>To grant, under conditions<br>laid down in the Statutes or<br>Ordinances, a degree,<br>diploma,<br>certificate or other<br>academic award to any<br>person who shall have<br>pursued a course of study<br>approved by the University<br>and shall have passed the<br>examinations or other tests<br>prescribed by the University.<br>University Charter, S.9 - The<br>organisation and<br>management of the<br>academic disciplines of the<br>University, and all matters<br>pertaining thereto which the<br>University may think proper<br>to regulate, shall be as<br>prescribed in the Statutes or<br>Ordinances.] | Yes | Article 9, S.2 (a), explicit<br>consent<br>[Information provided by<br>individual to University<br>further to process and at<br>data subject's own<br>instigation. ]. |
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| <b>STUDENT ASSESSMENT ADMINISTRATION</b> | Examination Board Administration               | The activities involved in administering the work of Boards of Examiners (or equivalent).  | Activities include: arranging Board meetings; preparing papers for Board meetings; recording decisions of Board meetings; taking/co-ordinating action to be carried out as a result of Board decisions.   | Records documenting the conduct of the business of a committee: correspondence and other records relating to the preparation of committee business or to actions to be taken (or not taken) as a result of committee decisions. | Yes | Article 6 S.1 (b), processing is necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract. Article 6 S.1 (c), processing is necessary for compliance with a legal obligation to which the controller is subject. Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller. [University Charter, S.3 (c) - To grant, under conditions laid down in the Statutes or Ordinances, a degree, diploma, certificate or other academic award to any person who shall have pursued a course of study approved by the University and shall have passed the examinations or other tests prescribed by the University. University Charter, S.9 - The organisation and management of the academic disciplines of the University, and all matters pertaining thereto which the University may think proper to regulate, shall be as prescribed in the Statutes or Ordinances.] | Yes | Article 9, S.2 (a), explicit consent [Information provided by individual to University further to process and at data subject's own instigation. ]. |
| <b>TUITION FEES ADMINISTRATION</b>       |  | The function of administering the setting and collection of tuition fees.  |   |   |     |  |     |   |
| <b>TUITION FEES ADMINISTRATION</b>       | Tuition Fees Administration Policy Development | The activities involved in developing and establishing the institution's policies on the setting and collection of tuition fees. | Activities include: identifying requirements for new/revised policy; undertaking research; developing policy proposals; consulting on policy proposals; reviewing and revising policy proposals in the light of comments received; drafting policy documents; consulting on policy documents; reviewing draft policy documents in the light of comments received; producing final policy documents; submitting final policy | Records documenting the development and establishment of the institution's tuition fees policies: key records.  |     |  |     |   |

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|                                    |   |  | documents for formal approval; formally approving policy documents; disseminating policy documents; reviewing policy.   |   |  |  |  |  |
| <b>TUITION FEES ADMINISTRATION</b> | Tuition Fees Administration Policy Development    | The activities involved in developing and establishing the institution's policies on the setting and collection of tuition fees. | Activities include: identifying requirements for new/revised policy; undertaking research; developing policy proposals; consulting on policy proposals; reviewing and revising policy proposals in the light of comments received; drafting policy documents; consulting on policy documents; reviewing draft policy documents in the light of comments received; producing final policy documents; submitting final policy documents for formal approval; formally approving policy documents; disseminating policy documents; reviewing policy. | Records documenting the development and establishment of the institution's tuition fees policies: working papers. |  |  |  |  |
| <b>TUITION FEES ADMINISTRATION</b> | Tuition Fees Administration Procedure Development | The activities involved in developing the institution's procedures for the setting and collection of tuition fees.               | Activities include: identifying needs for new/revised procedure; undertaking research; analysing work processes; drafting procedure documents; consulting on procedure documents; reviewing draft procedure documents in the light of comments received; trialling procedure; refining procedure as a result of trials; submitting final procedure documents for formal approval; formally approving procedure documents; disseminating procedure documents; reviewing procedure.   | Records documenting the development of the institution's procedures relating to tuition fees administration.      |  |  |  |  |
| <b>TUITION FEES ADMINISTRATION</b> | Tuition Fees Administration Procedure Development | The activities involved in developing the institution's procedures for the setting and collection of tuition fees.               | Activities include: identifying needs for new/revised procedure; undertaking research; analysing work processes; drafting procedure documents; consulting on procedure documents; reviewing draft procedure documents in the light of comments received;  | Master copies of procedures relating to tuition fees administration.  |  |  |  |  |

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|                                    |                       |   | trialling procedure; refining procedure as a result of trials; submitting final procedure documents for formal approval; formally approving procedure documents; disseminating procedure documents; reviewing procedure. |  |     |   |  |  |
| <b>TUITION FEES ADMINISTRATION</b> | Tuition Fee Remission | The activities involved in processing applications for remission of tuition fees. |  | Records documenting the handling of applications for remission of tuition fees: successful applications.   | Yes | Article 6 S.1 (b), processing is necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract.<br>Article 6 S.1 (c), processing is necessary for compliance with a legal obligation to which the controller is subject.<br>Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller.<br>[University Charter, S.3 (t) - To demand and receive fees, to procure contributions to the funds of the University and to raise money in such other manner as the University may deem fit.] |  |  |
| <b>TUITION FEES ADMINISTRATION</b> | Tuition Fee Remission | The activities involved in processing applications for remission of tuition fees. |  | Records documenting the handling of applications for remission of tuition fees: unsuccessful applications. | Yes | Article 6 S.1 (b), processing is necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract.<br>Article 6 S.1 (c), processing is necessary for compliance with a legal obligation to which the controller is subject.<br>Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller.<br>[University Charter, S.3 (t) - To demand and receive fees, to procure contributions to the funds of the University and to raise money in such other manner as the University may deem fit.] |  |  |

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| <b>TUITION FEES<br/>ADMINISTRATION</b>              | Tuition Fee Setting    | The activities involved in setting tuition fees.   |  | Records documenting the process of determining tuition fees. | Yes | Article 6 S.1 (b), processing is necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract.<br>Article 6 S.1 (c), processing is necessary for compliance with a legal obligation to which the controller is subject.<br>Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller.<br>[University Charter, S.3 (t) - To demand and receive fees, to procure contributions to the funds of the University and to raise money in such other manner as the University may deem fit.] |  |  |
| <b>TUITION FEES<br/>ADMINISTRATION</b>              | Tuition Fee Collection | The activities involved in collecting tuition fees.  |  | Records documenting the collection of tuition fees.          | Yes | Article 6 S.1 (b), processing is necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract.<br>Article 6 S.1 (c), processing is necessary for compliance with a legal obligation to which the controller is subject.<br>Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller.<br>[University Charter, S.3 (t) - To demand and receive fees, to procure contributions to the funds of the University and to raise money in such other manner as the University may deem fit.] |  |  |
| <b>STUDENT FINANCIAL<br/>SUPPORT ADMINISTRATION</b> |                        | The function of administering the allocation of financial support funds available to the institution's students. |  |  |     |   |  |  |

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| <b>STUDENT FINANCIAL<br/>SUPPORT ADMINISTRATION</b> | Student Financial Support<br>Administration Policy<br>Development    | The activities involved in<br>developing and establishing<br>the institution's policies on<br>the allocation of financial<br>support funds for students. | Activities include: identifying<br>requirements for<br>new/revised policy;<br>undertaking research;<br>developing policy proposals;<br>consulting on policy<br>proposals; reviewing and<br>revising policy proposals in<br>the light of comments<br>received; drafting policy<br>documents; consulting on<br>policy documents; reviewing<br>draft policy documents in<br>the light of comments<br>received; producing final<br>policy documents;<br>submitting final policy<br>documents for formal<br>approval; formally<br>approving policy<br>documents; disseminating<br>policy documents; reviewing<br>policy. | Records documenting the<br>development and<br>establishment of the<br>institution's student<br>financial support policies:<br>key records.    |  |  |  |  |
| <b>STUDENT FINANCIAL<br/>SUPPORT ADMINISTRATION</b> | Student Financial Support<br>Administration Policy<br>Development    | The activities involved in<br>developing and establishing<br>the institution's policies on<br>the allocation of financial<br>support funds for students. | Activities include: identifying<br>requirements for<br>new/revised policy;<br>undertaking research;<br>developing policy proposals;<br>consulting on policy<br>proposals; reviewing and<br>revising policy proposals in<br>the light of comments<br>received; drafting policy<br>documents; consulting on<br>policy documents; reviewing<br>draft policy documents in<br>the light of comments<br>received; producing final<br>policy documents;<br>submitting final policy<br>documents for formal<br>approval; formally<br>approving policy<br>documents; disseminating<br>policy documents; reviewing<br>policy. | Records documenting the<br>development and<br>establishment of the<br>institution's student<br>financial support policies:<br>working papers. |  |  |  |  |
| <b>STUDENT FINANCIAL<br/>SUPPORT ADMINISTRATION</b> | Student Financial Support<br>Administration Procedure<br>Development | The activities involved in<br>developing the institution's<br>procedures for the<br>allocation of financial<br>support funds for students.               | Activities include: identifying<br>needs for new/revised<br>procedure; undertaking<br>research; analysing work<br>processes; drafting<br>procedure documents;<br>consulting on procedure<br>documents; reviewing draft<br>procedure documents in the<br>light of comments received;<br>trialling procedure; refining<br>procedure as a result of<br>trials; submitting final<br>procedure documents for<br>formal approval; formally<br>approving procedure<br>documents; disseminating   | Records documenting the<br>development of the<br>institution's procedures<br>relating to student financial<br>support.                        |  |  |  |  |

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|   |  |  | procedure documents; reviewing procedure.   |  |     |  |  |  |
| <b>STUDENT FINANCIAL SUPPORT ADMINISTRATION</b> | Student Financial Support Administration Procedure Development | The activities involved in developing the institution's procedures for the allocation of financial support funds for students. | Activities include: identifying needs for new/revised procedure; undertaking research; analysing work processes; drafting procedure documents; consulting on procedure documents; reviewing draft procedure documents in the light of comments received; trialling procedure; refining procedure as a result of trials; submitting final procedure documents for formal approval; formally approving procedure documents; disseminating procedure documents; reviewing procedure. | Master copies of procedures relating to student financial support.               |     |  |  |  |
| <b>STUDENT FINANCIAL SUPPORT ADMINISTRATION</b> | Financial Aid Funds Administration                             | The activities involved in administering the allocation of financial aid funds available to the institution's students.        | Activities include: providing advice to students about financial aid funds and assisting them to apply for funds; handling applications for financial aid funds.  | Records documenting the provision of financial aid funds to individual students. | Yes | Article 6 S.1 (b), processing is necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract.Article 6 S.1 (c), processing is necessary for compliance with a legal obligation to which the controller is subject.Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller.[University Charter, S.3 (p) - To institute and award fellowships, scholarships, studentships, exhibitions, bursaries, prizes and other aids to study and research.] |  |  |

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| <b>STUDENT FINANCIAL<br/>SUPPORT ADMINISTRATION</b> | Crisis/Hardship Funds<br>Administration | The activities involved in<br>administering the allocation<br>of crisis/hardship funds<br>available to the institution's<br>students. | Activities include: providing<br>advice to students about<br>crisis/hardship funds and<br>assisting them to apply for<br>funds; handling applications<br>for financial aid funds. | Records documenting the<br>provision of crisis/hardship<br>payments to individual<br>students. | Yes | Article 6 S.1 (b), processing<br>is necessary for the<br>performance of a contract<br>to which the data subject is<br>party or in order to take<br>steps at the request of the<br>data subject prior to<br>entering into a contract.<br>Article 6 S.1 (c), processing is<br>necessary for compliance<br>with a legal obligation to<br>which the controller is<br>subject.<br>Article 6 S.1 (e), necessary<br>for the performance of a<br>task carried out in the public<br>interest or in the exercise of<br>official authority vested in<br>the controller.<br>[University Charter, S.3 (p) -<br>To institute and award<br>fellowships, scholarships,<br>studentships, exhibitions,<br>bursaries, prizes and other<br>aids to study and research.] |  |  |
| <b>STUDENT FINANCIAL<br/>SUPPORT ADMINISTRATION</b> | Bursaries Administration                | The activities involved in<br>administering the award of<br>bursaries available to the<br>institution's students.                     |   | Records documenting the<br>award of bursaries to<br>individual students.                       | Yes | Article 6 S.1 (b), processing<br>is necessary for the<br>performance of a contract<br>to which the data subject is<br>party or in order to take<br>steps at the request of the<br>data subject prior to<br>entering into a contract.<br>Article 6 S.1 (c), processing is<br>necessary for compliance<br>with a legal obligation to<br>which the controller is<br>subject.<br>Article 6 S.1 (e), necessary<br>for the performance of a<br>task carried out in the public<br>interest or in the exercise of<br>official authority vested in<br>the controller.<br>[University Charter, S.3 (p) -<br>To institute and award<br>fellowships, scholarships,<br>studentships, exhibitions,<br>bursaries, prizes and other<br>aids to study and research.] |  |  |



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| <b>STUDENT FINANCIAL<br/>SUPPORT ADMINISTRATION</b> | Scholarships and Fellowships Administration | The activities involved in administering the award of scholarships and fellowships available to the institution's students. |  | Records documenting the award of scholarships and fellowships to individual students.                                   | Yes | Article 6 S.1 (b), processing is necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract. Article 6 S.1 (c), processing is necessary for compliance with a legal obligation to which the controller is subject. Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller. [University Charter, S.3 (p) - To institute and award fellowships, scholarships, studentships, exhibitions, bursaries, prizes and other aids to study and research.]  |  |  |
| <b>STUDENT FINANCIAL<br/>SUPPORT ADMINISTRATION</b> | Prizes Administration                       | The activities involved in administering the award of prizes available to the institution's students.                       | Activities include: inviting nominations for prizes; considering nominations received and awarding prizes; notifying the recipients of prizes; presentation of prizes. | Records documenting nominations for prizes, the consideration of nominations and notifications to recipients of prizes. | Yes | Article 6 S.1 (b), processing is necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract. Article 6 S.1 (c), processing is necessary for compliance with a legal obligation to which the controller is subject. Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller. [University Charter, S.3 (p) - To institute and award fellowships, scholarships, studentships, exhibitions, bursaries, prizes and other aids to study and research. University Charter, S.9 - The organisation and management of the academic disciplines of the University, and all matters pertaining thereto which the University may think proper to regulate, shall be as prescribed in the Statutes or Ordinances.] |  |  |

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| <b>STUDENT FINANCIAL<br/>SUPPORT ADMINISTRATION</b>            | Prizes Administration | The activities involved in administering the award of prizes available to the institution's students.                                | Activities include: inviting nominations for prizes; considering nominations received and awarding prizes; notifying the recipients of prizes; presentation of prizes. | List of prize winners | Yes | Article 6 S.1 (b), processing is necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract.<br>Article 6 S.1 (c), processing is necessary for compliance with a legal obligation to which the controller is subject.<br>Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller.<br>[University Charter, S.3 (p) - To institute and award fellowships, scholarships, studentships, exhibitions, bursaries, prizes and other aids to study and research.<br>University Charter, S.9 - The organisation and management of the academic disciplines of the University, and all matters pertaining thereto which the University may think proper to regulate, shall be as prescribed in the Statutes or Ordinances.] |  |  |
| <b>CORPORATE PLANNING &amp;<br/>PERFORMANCE<br/>MANAGEMENT</b> |                       | The function of developing and establishing the institution's corporate plans and of monitoring its performance against these plans. |  |                       |     |  |  |  |

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| <b>CORPORATE PLANNING &amp; PERFORMANCE MANAGEMENT</b> | Corporate Planning & Performance Management Policy Development | The activities involved in developing and establishing the institution's policies on corporate planning and performance management. | Activities include: identifying requirements for new/revised policy; undertaking research; developing policy proposals; consulting on policy proposals; reviewing and revising policy proposals in the light of comments received; drafting policy documents; consulting on policy documents; reviewing draft policy documents in the light of comments received; producing final policy documents; submitting final policy documents for formal approval; formally approving policy documents; disseminating policy documents; reviewing policy. | Records documenting the development and establishment of the institution's corporate planning and performance management policies: key records.    |  |  |  |  |
| <b>CORPORATE PLANNING &amp; PERFORMANCE MANAGEMENT</b> | Corporate Planning & Performance Management Policy Development | The activities involved in developing and establishing the institution's policies on corporate planning and performance management. | Activities include: identifying requirements for new/revised policy; undertaking research; developing policy proposals; consulting on policy proposals; reviewing and revising policy proposals in the light of comments received; drafting policy documents; consulting on policy documents; reviewing draft policy documents in the light of comments received; producing final policy documents; submitting final policy documents for formal approval; formally approving policy documents; disseminating policy documents; reviewing policy. | Records documenting the development and establishment of the institution's corporate planning and performance management policies: working papers. |  |  |  |  |

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| <b>CORPORATE PLANNING &amp; PERFORMANCE MANAGEMENT</b> | Corporate Planning & Performance Management Procedure Development | The activities involved in developing the institution's procedures for corporate planning and performance management. |  | Records documenting the development of the institution's procedures relating to corporate planning and performance management. |  |  |  |  |
| <b>CORPORATE PLANNING &amp; PERFORMANCE MANAGEMENT</b> | Corporate Planning & Performance Management Procedure Development | The activities involved in developing the institution's procedures for corporate planning and performance management. |  | Master copies of procedures relating to corporate planning and performance management.   |  |  |  |  |
| <b>CORPORATE PLANNING &amp; PERFORMANCE MANAGEMENT</b> | Strategic Planning  | The activities involved in developing the institution's strategic plans.  | Activities include: developing plans; reviewing plans. | Records documenting the development of the institution's strategic plan: key records.  |  |  |  |  |

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| <b>CORPORATE PLANNING &amp; PERFORMANCE MANAGEMENT</b> | Strategic Planning               | The activities involved in developing the institution's strategic plans.                         | Activities include: developing plans; reviewing plans.   | Records documenting the development of the institution's strategic plan: working papers.               |  |  |  |  |
| <b>CORPORATE PLANNING &amp; PERFORMANCE MANAGEMENT</b> | Strategic Performance Management | The activities involved in monitoring the institution's performance against its strategic plans. | Activities include: developing key performance indicators (KPIs); benchmarking against other comparable institutions; monitoring performance against strategic plans and KPIs. | Records containing data on, and analyses of, the institution's performance against its strategic plan. |  |  |  |  |
| <b>CORPORATE PLANNING &amp; PERFORMANCE MANAGEMENT</b> | Strategic Performance Management | The activities involved in monitoring the institution's performance against its strategic plans. | Activities include: developing key performance indicators (KPIs); benchmarking against other comparable institutions; monitoring performance against strategic plans and KPIs. | Records containing reports on the institution's performance against its strategic plan.                |  |  |  |  |

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| <b>CORPORATE PLANNING &amp; PERFORMANCE MANAGEMENT</b> | Strategic Performance Management | The activities involved in monitoring the institution's performance against its strategic plans. | Activities include: developing key performance indicators (KPIs); benchmarking against other comparable institutions; monitoring performance against strategic plans and KPIs. | Records documenting the conduct and results of audits and reviews of the strategic planning and performance management function, and responses to the results. |  |  |  |  |
| <b>CORPORATE PLANNING &amp; PERFORMANCE MANAGEMENT</b> | Operational Planning             | The activities involved in developing the institution's annual operating plans.                  | Activities include: developing plans; reviewing plans.   | Records documenting the development of the institution's annual operating plans: key records.  |  |  |  |  |
| <b>CORPORATE PLANNING &amp; PERFORMANCE MANAGEMENT</b> | Operational Planning             | The activities involved in developing the institution's annual operating plans.                  | Activities include: developing plans; reviewing plans.   | Records documenting the development of the institution's annual operating plans: working papers.   |  |  |  |  |

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| <b>CORPORATE PLANNING &amp; PERFORMANCE MANAGEMENT</b> | Operational Performance Management | The activities involved in monitoring the institution's performance against its annual operating plans. | Activities include: developing key performance indicators (KPIs); benchmarking against other comparable institutions; monitoring performance against strategic plans and KPIs. | Records documenting the development of the institution's key performance indicators. |  |  |  |  |
| <b>CORPORATE PLANNING &amp; PERFORMANCE MANAGEMENT</b> | Operational Performance Management | The activities involved in monitoring the institution's performance against its annual operating plans. | Activities include: developing key performance indicators (KPIs); benchmarking against other comparable institutions; monitoring performance against strategic plans and KPIs. | Records documenting benchmarking exercises with other comparable institutions.       |  |  |  |  |
| <b>CORPORATE PLANNING &amp; PERFORMANCE MANAGEMENT</b> | Operational Performance Management | The activities involved in monitoring the institution's performance against its annual operating plans. | Activities include: developing key performance indicators (KPIs); benchmarking against other comparable institutions; monitoring performance against strategic plans and KPIs. | Records documenting performance monitoring and analysis.                             |  |  |  |  |

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| GOVERNANCE |                                 | The function of developing and establishing the institution's corporate governance structure and rules, and of conducting its business in accordance with its governance structure and rules. |  |   |  |  |  |  |
| GOVERNANCE | Governance Strategy Development | The activities involved in developing the institution's governance strategy.  | Activities include: identifying requirements for new/revised strategy; undertaking research; developing strategy proposals; consulting on strategy proposals; reviewing and revising strategy proposals in the light of comments received; drafting strategy documents; consulting on strategy documents; reviewing draft strategy documents in the light of comments received; producing final strategy documents; submitting final strategy documents for formal endorsement; formally endorsing strategy documents; disseminating strategy documents; reviewing strategy. | Records documenting the development and establishment of the institution's governance strategy: key records.    |  |  |  |  |
| GOVERNANCE | Governance Strategy Development | The activities involved in developing the institution's governance strategy.  | Activities include: identifying requirements for new/revised strategy; undertaking research; developing strategy proposals; consulting on strategy proposals; reviewing and revising strategy proposals in the light of comments received; drafting strategy documents; consulting on strategy documents; reviewing draft strategy documents in the light of comments received; producing final strategy documents; submitting final strategy documents for formal endorsement; formally endorsing strategy documents; disseminating strategy documents; reviewing strategy. | Records documenting the development and establishment of the institution's governance strategy: working papers. |  |  |  |  |



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| GOVERNANCE | Legal Framework Development        | The activities involved in establishing and, where appropriate, changing the legal status of the institution.              |   | Records documenting the establishment and development of the institution's legal framework.   |  |  |  |  |
| GOVERNANCE | Governance Framework Development   | The activities involved in establishing and, where appropriate, changing the institution's governance structure and rules. |   | Records documenting the establishment and development institution's governance structure and rules.                                       |  |  |  |  |
| GOVERNANCE | Statutory Committee Administration | The activities involved in administering the work of the institution's statutory committees.                               | Activities include:<br>establishing terms of reference for committees;<br>developing and establishing rules and procedures for the conduct of committee business; appointing, electing or otherwise designating members of committees; providing induction and training for members of committees; arranging committee meetings; preparing agenda and papers for committee meetings; recording minutes of committee meetings; taking/co-ordinating action to be carried out as a result of committee decisions; undertaking periodic formal reviews of the effectiveness and performance of | Records documenting the development and establishment of the terms of reference, and the rules and procedures, for a statutory committee. |  |  |  |  |

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|                   |                                       |   | committees (NOTE 1);<br>maintaining a register of<br>interests of members of the<br>governing body (NOTE 2).  |   |     |   |  |  |
| <b>GOVERNANCE</b> | Statutory Committee<br>Administration | The activities involved in<br>administering the work of<br>the institution's statutory<br>committees. | Activities include:<br>establishing terms of<br>reference for committees;<br>developing and establishing<br>rules and procedures for the<br>conduct of committee<br>business; appointing,<br>electing or otherwise<br>designating members of<br>committees; providing<br>induction and training for<br>members of committees;<br>arranging committee<br>meetings; preparing agenda<br>and papers for committee<br>meetings; recording minutes<br>of committee meetings;<br>taking/co-ordinating action<br>to be carried out as a result<br>of committee decisions;<br>undertaking periodic formal<br>reviews of the effectiveness<br>and performance of<br>committees (NOTE 1);<br>maintaining a register of<br>interests of members of the<br>governing body (NOTE 2). | Records documenting the<br>appointment/election/desig<br>nation of members of a<br>statutory committee. | Yes | Article 6 S.1 (e), necessary<br>for the performance of a<br>task carried out in the public<br>interest or in the exercise of<br>official authority vested in<br>the controller.<br>[University Charter] |  |  |

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| GOVERNANCE | Statutory Committee Administration | The activities involved in administering the work of the institution's statutory committees. | Activities include: establishing terms of reference for committees; developing and establishing rules and procedures for the conduct of committee business; appointing, electing or otherwise designating members of committees; providing induction and training for members of committees; arranging committee meetings; preparing agenda and papers for committee meetings; recording minutes of committee meetings; taking/co-ordinating action to be carried out as a result of committee decisions; undertaking periodic formal reviews of the effectiveness and performance of committees (NOTE 1); maintaining a register of interests of members of the governing body (NOTE 2). | Records documenting the development of induction and training programmes for members of a statutory committee. | Yes | Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller. [University Charter] |  |  |
| GOVERNANCE | Statutory Committee Administration | The activities involved in administering the work of the institution's statutory committees. | Activities include: establishing terms of reference for committees; developing and establishing rules and procedures for the conduct of committee business; appointing, electing or otherwise designating members of committees; providing induction and training for members of committees; arranging committee meetings; preparing agenda and papers for committee meetings; recording minutes of committee meetings; taking/co-ordinating action to be carried out as a result of committee decisions; undertaking periodic formal reviews of the effectiveness and performance of committees (NOTE 1); maintaining a register of interests of members of the governing body (NOTE 2). | Records documenting training undertaken by individual members of a statutory committee.                        | Yes | Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller.[University Charter]  |  |  |

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| GOVERNANCE | Statutory Committee Administration | The activities involved in administering the work of the institution's statutory committees. | Activities include: establishing terms of reference for committees; developing and establishing rules and procedures for the conduct of committee business; appointing, electing or otherwise designating members of committees; providing induction and training for members of committees; arranging committee meetings; preparing agenda and papers for committee meetings; recording minutes of committee meetings; taking/co-ordinating action to be carried out as a result of committee decisions; undertaking periodic formal reviews of the effectiveness and performance of committees (NOTE 1); maintaining a register of interests of members of the governing body (NOTE 2). | Records documenting the arrangements for meetings of a statutory committee.                                      |  |  |   |   |
| GOVERNANCE | Statutory Committee Administration | The activities involved in administering the work of the institution's statutory committees. | Activities include: establishing terms of reference for committees; developing and establishing rules and procedures for the conduct of committee business; appointing, electing or otherwise designating members of committees; providing induction and training for members of committees; arranging committee meetings; preparing agenda and papers for committee meetings; recording minutes of committee meetings; taking/co-ordinating action to be carried out as a result of committee decisions; undertaking periodic formal reviews of the effectiveness and performance of committees (NOTE 1); maintaining a register of interests of members of the governing body (NOTE 2). | Records documenting the conduct of the business of a statutory committee: agenda, minutes and supporting papers. | Potentially, where business of committee concerns individuals. | Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller.<br>[University Charter] | Potentiallty, where committee reviews individual circumstnaces. | Article 9, S.2 (a), explicit consent.<br>Article 9, S.2 (b), necessary for the purposes of carrying out the obligations and exercising specific rights of the controller or of the data subject in the field of employment and social security and social protection law.<br>Artcile 9, S.2(f), processing is necessary for the establishment, exercise or defence of legal claims. |

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| <b>GOVERNANCE</b> | Statutory Committee Administration | The activities involved in administering the work of the institution's statutory committees. | Activities include: establishing terms of reference for committees; developing and establishing rules and procedures for the conduct of committee business; appointing, electing or otherwise designating members of committees; providing induction and training for members of committees; arranging committee meetings; preparing agenda and papers for committee meetings; recording minutes of committee meetings; taking/co-ordinating action to be carried out as a result of committee decisions; undertaking periodic formal reviews of the effectiveness and performance of committees (NOTE 1); maintaining a register of interests of members of the governing body (NOTE 2). | Records documenting the conduct of the business of a statutory committee: correspondence and other records relating to the preparation of committee business or to actions to be taken (or not taken) as a result of committee decisions. | Potentially, where business of committee concerns individuals. | Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller. [University Charter] | Potentially, where committee reviews individual circumstances. | Article 9, S.2 (a), explicit consent.<br>Article 9, S.2 (b), necessary for the purposes of carrying out the obligations and exercising specific rights of the controller or of the data subject in the field of employment and social security and social protection law.<br>Article 9, S.2(f), processing is necessary for the establishment, exercise or defence of legal claims. |
| <b>GOVERNANCE</b> | Statutory Committee Administration | The activities involved in administering the work of the institution's statutory committees. | Activities include: establishing terms of reference for committees; developing and establishing rules and procedures for the conduct of committee business; appointing, electing or otherwise designating members of committees; providing induction and training for members of committees; arranging committee meetings; preparing agenda and papers for committee meetings; recording minutes of committee meetings; taking/co-ordinating action to be carried out as a result of committee decisions; undertaking periodic formal reviews of the effectiveness and performance of committees (NOTE 1); maintaining a register of interests of members of the governing body (NOTE 2). | Records documenting the conduct of reviews of the effectiveness and performance of a statutory committee.   |  |   |  |   |

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| GOVERNANCE | Statutory Committee Administration     | The activities involved in administering the work of the institution's statutory committees.     | Activities include: establishing terms of reference for committees; developing and establishing rules and procedures for the conduct of committee business; appointing, electing or otherwise designating members of committees; providing induction and training for members of committees; arranging committee meetings; preparing agenda and papers for committee meetings; recording minutes of committee meetings; taking/co-ordinating action to be carried out as a result of committee decisions; undertaking periodic formal reviews of the effectiveness and performance of committees (NOTE 1); maintaining a register of interests of members of the governing body (NOTE 2). | Register of interests of members of the institution's governing body.   | Yes | Article 6 S.1 (b), necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract. Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject. [Scottish Code of HE Good Governance] |  |  |
| GOVERNANCE | Non-Statutory Committee Administration | The activities involved in administering the work of the institution's non-statutory committees. | Activities include: establishing terms of reference for committees; developing and establishing rules and procedures for the conduct of committee business; appointing, electing or otherwise designating members of committees; providing induction and training for members of committees; arranging committee meetings; preparing agenda and papers for committee meetings; recording minutes of committee meetings; taking/co-ordinating action to be carried out as a result of committee decisions; dissolving committees which are no longer required.   | Records documenting the development and establishment of the terms of reference, and the rules and procedures, for a committee. |     |   |  |  |

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| GOVERNANCE | Non-Statutory Committee Administration | The activities involved in administering the work of the institution's non-statutory committees. | Activities include: establishing terms of reference for committees; developing and establishing rules and procedures for the conduct of committee business; appointing, electing or otherwise designating members of committees; providing induction and training for members of committees; arranging committee meetings; preparing agenda and papers for committee meetings; recording minutes of committee meetings; taking/co-ordinating action to be carried out as a result of committee decisions; dissolving committees which are no longer required. | Records documenting the appointment/election/designation of members of a committee.                  | Yes | Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller.<br>[University Charter] |  |  |
| GOVERNANCE | Non-Statutory Committee Administration | The activities involved in administering the work of the institution's non-statutory committees. | Activities include: establishing terms of reference for committees; developing and establishing rules and procedures for the conduct of committee business; appointing, electing or otherwise designating members of committees; providing induction and training for members of committees; arranging committee meetings; preparing agenda and papers for committee meetings; recording minutes of committee meetings; taking/co-ordinating action to be carried out as a result of committee decisions; dissolving committees which are no longer required. | Records documenting the development of induction and training programmes for members of a committee. |     |  |  |  |

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| GOVERNANCE | Non-Statutory Committee Administration | The activities involved in administering the work of the institution's non-statutory committees. | Activities include: establishing terms of reference for committees; developing and establishing rules and procedures for the conduct of committee business; appointing, electing or otherwise designating members of committees; providing induction and training for members of committees; arranging committee meetings; preparing agenda and papers for committee meetings; recording minutes of committee meetings; taking/co-ordinating action to be carried out as a result of committee decisions; dissolving committees which are no longer required. | Records documenting training undertaken by individual members of a committee. | Yes | Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller.<br>[University Charter] |  |  |
| GOVERNANCE | Non-Statutory Committee Administration | The activities involved in administering the work of the institution's non-statutory committees. | Activities include: establishing terms of reference for committees; developing and establishing rules and procedures for the conduct of committee business; appointing, electing or otherwise designating members of committees; providing induction and training for members of committees; arranging committee meetings; preparing agenda and papers for committee meetings; recording minutes of committee meetings; taking/co-ordinating action to be carried out as a result of committee decisions; dissolving committees which are no longer required. | Records documenting the arrangements for meetings of a committee.             |     |  |  |  |



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| GOVERNANCE | Non-Statutory Committee Administration | The activities involved in administering the work of the institution's non-statutory committees. | Activities include: establishing terms of reference for committees; developing and establishing rules and procedures for the conduct of committee business; appointing, electing or otherwise designating members of committees; providing induction and training for members of committees; arranging committee meetings; preparing agenda and papers for committee meetings; recording minutes of committee meetings; taking/co-ordinating action to be carried out as a result of committee decisions; dissolving committees which are no longer required. | Records documenting the conduct of the business of a committee: agenda, minutes and supporting papers.  | Yes  | Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller.[University Charter]  |  |   |
| GOVERNANCE | Non-Statutory Committee Administration | The activities involved in administering the work of the institution's non-statutory committees. | Activities include: establishing terms of reference for committees; developing and establishing rules and procedures for the conduct of committee business; appointing, electing or otherwise designating members of committees; providing induction and training for members of committees; arranging committee meetings; preparing agenda and papers for committee meetings; recording minutes of committee meetings; taking/co-ordinating action to be carried out as a result of committee decisions; dissolving committees which are no longer required. | Records documenting the conduct of the business of a committee: correspondence and other records relating to the preparation of committee business or to actions to be taken (or not taken) as a result of committee decisions. | Potentially, where business of committee concerns individuals. | Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller. [University Charter] | Potentially, where committee reviews individual circumstances. | Article 9, S.2 (a), explicit consent.<br>Article 9, S.2 (b), necessary for the purposes of carrying out the obligations and exercising specific rights of the controller or of the data subject in the field of employment and social security and social protection law.<br>Article 9, S.2(f), processing is necessary for the establishment, exercise or defence of legal claims. |

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| <b>GOVERNANCE</b> | Senior Officers' Appointments Administration               | The activities involved in appointing, electing or otherwise designating the institution's senior officers.                               | Activities include: setting terms and conditions for officers.   | Records documenting the appointment/ election/designation of the institution's senior officers.   | Yes | Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller.<br>[University Charter, S.3 (n) - To institute such offices as the purposes of the University may require, to appoint persons to and to remove them from such offices, and to prescribe their terms and conditions of service.] | Potentially, dependent upon individual circumstances. | Article 9, S.2 (a), explicit consent.<br>Article 9, S.2 (b), necessary for the purposes of carrying out the obligations and exercising specific rights of the controller or of the data subject in the field of employment and social security and social protection law.  |
| <b>GOVERNANCE</b> | Public Interest Disclosure (Whistle Blowing) Investigation | The activities involved in handling allegations of malpractice or misconduct made by staff under the Public Interest Disclosure Act 1998. | Activities include: recording allegations; investigating and reporting on allegations, and determining any consequential action to be taken. | Records documenting the investigation, determination and resolution of an allegation made by a member of staff under the Public Interest Disclosure Act 1998. | Yes | Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject.  | Potentially, dependent upon individual circumstances. | Article 9, S.2 (g), necessary for reasons of substantial public interest, on the basis of Union or Member State law which shall be proportionate to the aim pursued, respect the essence of the right to data protection and provide for suitable and specific measures to safeguard the fundamental rights and the interests of the data subject. |
| <b>GOVERNANCE</b> | Official External Representation                           | The activities involved in representing the institution officially on external bodies.  | Activities include: appointing or otherwise designating staff to represent the institution.  | Records documenting the appointment/designation of staff to officially represent the institution.   | Yes | Article 6 S.1 (b), necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract.  |   |  |

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| <b>RISK MANAGEMENT</b> |                                      | The activities involved in managing risks to the viability or success of the institution.          |  |  |  |  |  |  |
| <b>RISK MANAGEMENT</b> | Risk Management Strategy Development | The activities involved in developing and establishing the institution's risk management strategy. | Activities include: identifying requirements for new/revised strategy; undertaking research; developing strategy proposals; consulting on strategy proposals; reviewing and revising strategy proposals in the light of comments received; drafting strategy documents; consulting on strategy documents; reviewing draft strategy documents in the light of comments received; producing final strategy documents; submitting final strategy documents for formal endorsement; formally endorsing strategy documents; disseminating strategy documents; reviewing strategy. | Records documenting the development and establishment of the institution's risk management strategy: key records.    |  |  |  |  |
| <b>RISK MANAGEMENT</b> | Risk Management Strategy Development | The activities involved in developing and establishing the institution's risk management strategy. | Activities include: identifying requirements for new/revised strategy; undertaking research; developing strategy proposals; consulting on strategy proposals; reviewing and revising strategy proposals in the light of comments received; drafting strategy documents; consulting on strategy documents; reviewing draft strategy documents in the light of comments received; producing final strategy documents; submitting final strategy documents for formal endorsement; formally endorsing strategy documents; disseminating strategy documents; reviewing strategy. | Records documenting the development and establishment of the institution's risk management strategy: working papers. |  |  |  |  |

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| <b>RISK MANAGEMENT</b> | Risk Management Policy Development | The activities involved in developing and establishing the institution's policies on risk management. | Activities include: identifying requirements for new/revised policy; undertaking research; developing policy proposals; consulting on policy proposals; reviewing and revising policy proposals in the light of comments received; drafting policy documents; consulting on policy documents; reviewing draft policy documents in the light of comments received; producing final policy documents; submitting final policy documents for formal approval; formally approving policy documents; disseminating policy documents; reviewing policy. | Records documenting the development and establishment of the institution's risk management policies: key records.    |  |  |  |  |
| <b>RISK MANAGEMENT</b> | Risk Management Policy Development | The activities involved in developing and establishing the institution's policies on risk management. | Activities include: identifying requirements for new/revised policy; undertaking research; developing policy proposals; consulting on policy proposals; reviewing and revising policy proposals in the light of comments received; drafting policy documents; consulting on policy documents; reviewing draft policy documents in the light of comments received; producing final policy documents; submitting final policy documents for formal approval; formally approving policy documents; disseminating policy documents; reviewing policy. | Records documenting the development and establishment of the institution's risk management policies: working papers. |  |  |  |  |

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| <b>RISK MANAGEMENT</b> | Risk Management Procedure Development | The activities involved in developing the institution's procedures for risk management. | Activities include: identifying needs for new/revised procedure; undertaking research; analysing work processes; drafting procedure documents; consulting on procedure documents; reviewing draft procedure documents in the light of comments received; trialling procedure; refining procedure as a result of trials; submitting final procedure documents for formal approval; formally approving procedure documents; disseminating procedure documents; reviewing procedure. | Records documenting the development of the institution's procedures relating to risk management. |  |  |  |  |
| <b>RISK MANAGEMENT</b> | Risk Management Procedure Development | The activities involved in developing the institution's procedures for risk management. | Activities include: identifying needs for new/revised procedure; undertaking research; analysing work processes; drafting procedure documents; consulting on procedure documents; reviewing draft procedure documents in the light of comments received; trialling procedure; refining procedure as a result of trials; submitting final procedure documents for formal approval; formally approving procedure documents; disseminating procedure documents; reviewing procedure. | Master copies of procedures relating to risk management.   |  |  |  |  |
| <b>RISK MANAGEMENT</b> | Risk Identification & Assessment      | The activities involved in identifying and evaluating risks to the institution.         |   | Records documenting identified risks to the institution and assessments of those risks.          |  |  |  |  |

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| <b>RISK MANAGEMENT</b>    | Business Continuity Planning | The activities involved in anticipating incidents which would disrupt the institution's operations, and in developing response and recovery plans. |  | Records documenting the formulation, testing and maintenance of disaster response and recovery plans.                | Yes (eg personal contact details). | Article 6 S.1 (b), necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract. |  |  |
| <b>QUALITY MANAGEMENT</b> |                              | The function of managing overall quality in the institution.   |  |  |                                    |   |  |  |
| <b>QUALITY MANAGEMENT</b> | Quality Strategy Development | The activities involved in developing and establishing the institution's quality strategy.   | Activities include: identifying requirements for new/revised strategy; undertaking research; developing strategy proposals; consulting on strategy proposals; reviewing and revising strategy proposals in the light of comments received; drafting strategy documents; consulting on strategy documents; reviewing draft strategy documents in the light of comments received; producing final strategy documents; submitting final strategy documents for formal endorsement; formally endorsing strategy documents; disseminating strategy documents; reviewing strategy. | Records documenting the development and establishment of the institution's quality management strategy: key records. |                                    |   |  |  |

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| QUALITY MANAGEMENT | Quality Strategy Development          | The activities involved in developing and establishing the institution's quality strategy.               | Activities include: identifying requirements for new/revised strategy; undertaking research; developing strategy proposals; consulting on strategy proposals; reviewing and revising strategy proposals in the light of comments received; drafting strategy documents; consulting on strategy documents; reviewing draft strategy documents in the light of comments received; producing final strategy documents; submitting final strategy documents for formal endorsement; formally endorsing strategy documents; disseminating strategy documents; reviewing strategy. | Records documenting the development and establishment of the institution's quality management strategy: working papers. |  |  |  |  |
| QUALITY MANAGEMENT | Quality Management Policy Development | The activities involved in developing and establishing the institution's policies on quality management. | Activities include: identifying requirements for new/revised policy; undertaking research; developing policy proposals; consulting on policy proposals; reviewing and revising policy proposals in the light of comments received; drafting policy documents; consulting on policy documents; reviewing draft policy documents in the light of comments received; producing final policy documents; submitting final policy documents for formal approval; formally approving policy documents; disseminating policy documents; reviewing policy.                            | Records documenting the development and establishment of the institution's quality management policies: key records.    |  |  |  |  |

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| QUALITY MANAGEMENT | Quality Management Policy Development    | The activities involved in developing and establishing the institution's policies on quality management. | Activities include: identifying requirements for new/revised policy; undertaking research; developing policy proposals; consulting on policy proposals; reviewing and revising policy proposals in the light of comments received; drafting policy documents; consulting on policy documents; reviewing draft policy documents in the light of comments received; producing final policy documents; submitting final policy documents for formal approval; formally approving policy documents; disseminating policy documents; reviewing policy. | Records documenting the development and establishment of the institution's quality management policies: working papers. |  |  |  |  |
| QUALITY MANAGEMENT | Quality Management Procedure Development | The activities involved in developing the institution's procedures for quality management.               | Activities include: identifying needs for new/revised procedure; undertaking research; analysing work processes; drafting procedure documents; consulting on procedure documents; reviewing draft procedure documents in the light of comments received; trialling procedure; refining procedure as a result of trials; submitting final procedure documents for formal approval; formally approving procedure documents; disseminating procedure documents; reviewing procedure.   | Records documenting the development of the institution's procedures relating to quality management.                     |  |  |  |  |
| QUALITY MANAGEMENT | Quality Management Procedure Development | The activities involved in developing the institution's procedures for quality management.               | Activities include: identifying needs for new/revised procedure; undertaking research; analysing work processes; drafting procedure documents; consulting on procedure documents; reviewing draft procedure documents in the light of comments received; trialling procedure; refining procedure as a result of trials; submitting final procedure documents for formal approval; formally approving procedure documents; disseminating procedure documents; reviewing procedure.   | Master copies of procedures relating to quality management.   |  |  |  |  |



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| QUALITY MANAGEMENT | Quality Audit                                      | The activities involved in undertaking quality audits.   | Activities include: planning audits; conducting audit investigations; writing and delivering audit reports; reviewing and responding to audit reports. | Records documenting the conduct and results of quality audits, and action taken to address issues raised.                                       |  |  |  |  |
| QUALITY MANAGEMENT | Quality Management Scheme Accreditation Management | The activities involved in obtaining and maintaining accreditation under established external quality management schemes (e.g. EQUIS). | Activities include: applying for accreditation; liaising with accreditation bodies; facilitating inspections/audits by accrediting bodies.             | Records documenting the attainment and maintenance of the institution's accreditation under established independent quality management schemes. |  |  |  |  |
| AUDIT              |  | The function of conducting audits of the institution's affairs and operations.   |  |   |  |  |  |  |

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| AUDIT | Audit Strategy Development | The activities involved in developing and establishing the institution's audit strategy. | Activities include: identifying requirements for new/revised strategy; undertaking research; developing strategy proposals; consulting on strategy proposals; reviewing and revising strategy proposals in the light of comments received; drafting strategy documents; consulting on strategy documents; reviewing draft strategy documents in the light of comments received; producing final strategy documents; submitting final strategy documents for formal endorsement; formally endorsing strategy documents; disseminating strategy documents; reviewing strategy. | Records documenting the development and establishment of the institution's audit strategy: key records.    |  |  |  |  |
| AUDIT | Audit Strategy Development | The activities involved in developing and establishing the institution's audit strategy. | Activities include: identifying requirements for new/revised strategy; undertaking research; developing strategy proposals; consulting on strategy proposals; reviewing and revising strategy proposals in the light of comments received; drafting strategy documents; consulting on strategy documents; reviewing draft strategy documents in the light of comments received; producing final strategy documents; submitting final strategy documents for formal endorsement; formally endorsing strategy documents; disseminating strategy documents; reviewing strategy. | Records documenting the development and establishment of the institution's audit strategy: working papers. |  |  |  |  |

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| AUDIT | Audit Policy Development | The activities involved in developing and establishing the institution's policies for the conduct of audits. | Activities include: identifying requirements for new/revised policy; undertaking research; developing policy proposals; consulting on policy proposals; reviewing and revising policy proposals in the light of comments received; drafting policy documents; consulting on policy documents; reviewing draft policy documents in the light of comments received; producing final policy documents; submitting final policy documents for formal approval; formally approving policy documents; disseminating policy documents; reviewing policy. | Records documenting the development and establishment of the institution's audit policies: key records.    |  |  |  |  |
| AUDIT | Audit Policy Development | The activities involved in developing and establishing the institution's policies for the conduct of audits. | Activities include: identifying requirements for new/revised policy; undertaking research; developing policy proposals; consulting on policy proposals; reviewing and revising policy proposals in the light of comments received; drafting policy documents; consulting on policy documents; reviewing draft policy documents in the light of comments received; producing final policy documents; submitting final policy documents for formal approval; formally approving policy documents; disseminating policy documents; reviewing policy. | Records documenting the development and establishment of the institution's audit policies: working papers. |  |  |  |  |

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| AUDIT | Audit Procedure Development | The activities involved in developing the institution's procedures for conducting audits. | Activities include: identifying needs for new/revised procedure; undertaking research; analysing work processes; drafting procedure documents; consulting on procedure documents; reviewing draft procedure documents in the light of comments received; trialling procedure; refining procedure as a result of trials; submitting final procedure documents for formal approval; formally approving procedure documents; disseminating procedure documents; reviewing procedure. | Records documenting the development of the institution's procedures relating to audit management. |  |  |  |  |
| AUDIT | Audit Procedure Development | The activities involved in developing the institution's procedures for conducting audits. | Activities include: identifying needs for new/revised procedure; undertaking research; analysing work processes; drafting procedure documents; consulting on procedure documents; reviewing draft procedure documents in the light of comments received; trialling procedure; refining procedure as a result of trials; submitting final procedure documents for formal approval; formally approving procedure documents; disseminating procedure documents; reviewing procedure. | Master copies of procedures relating to audit management.   |  |  |  |  |
| AUDIT | Audit Management            | The activities involved in conducting audits.   | Activities include: conducting internal audits; facilitating the conduct of external audits; reviewing and responding to audit reports.   | Records documenting the conduct and results of audits, and action taken to address issues raised. |  |  |  |  |

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| <b>LEGAL AFFAIRS<br/>MANAGEMENT</b> |   | The function of managing the institution's legal affairs.  |   |   |  |  |  |  |
| <b>LEGAL AFFAIRS<br/>MANAGEMENT</b> | Legal Affairs Management Policy Development | The activities involved in developing and establishing the institution's policies for the management of its legal affairs. | Activities include: identifying requirements for new/revised policy; undertaking research; developing policy proposals; consulting on policy proposals; reviewing and revising policy proposals in the light of comments received; drafting policy documents; consulting on policy documents; reviewing draft policy documents in the light of comments received; producing final policy documents; submitting final policy documents for formal approval; formally approving policy documents; disseminating policy documents; reviewing policy. | Records documenting the development and establishment of the institution's policies on the management of legal affairs: key records.    |  |  |  |  |
| <b>LEGAL AFFAIRS<br/>MANAGEMENT</b> | Legal Affairs Management Policy Development | The activities involved in developing and establishing the institution's policies for the management of its legal affairs. | Activities include: identifying requirements for new/revised policy; undertaking research; developing policy proposals; consulting on policy proposals; reviewing and revising policy proposals in the light of comments received; drafting policy documents; consulting on policy documents; reviewing draft policy documents in the light of comments received; producing final policy documents; submitting final policy documents for formal approval; formally approving policy documents; disseminating policy documents; reviewing policy. | Records documenting the development and establishment of the institution's policies on the management of legal affairs: working papers. |  |  |  |  |

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| <b>LEGAL AFFAIRS<br/>MANAGEMENT</b> | Legal Affairs Management<br>Procedure Development | The activities involved in developing the institution's procedures for the management of its legal affairs.                             | Activities include: identifying needs for new/revised procedure; undertaking research; analysing work processes; drafting procedure documents; consulting on procedure documents; reviewing draft procedure documents in the light of comments received; trialling procedure; refining procedure as a result of trials; submitting final procedure documents for formal approval; formally approving procedure documents; disseminating procedure documents; reviewing procedure. | Records documenting the development of the institution's procedures relating to the management of legal affairs.   |              |   |              |  |
| <b>LEGAL AFFAIRS<br/>MANAGEMENT</b> | Legal Affairs Management<br>Procedure Development | The activities involved in developing the institution's procedures for the management of its legal affairs.                             | Activities include: identifying needs for new/revised procedure; undertaking research; analysing work processes; drafting procedure documents; consulting on procedure documents; reviewing draft procedure documents in the light of comments received; trialling procedure; refining procedure as a result of trials; submitting final procedure documents for formal approval; formally approving procedure documents; disseminating procedure documents; reviewing procedure. | Master copies of procedures relating to the management of legal affairs.   |              |   |              |  |
| <b>LEGAL AFFAIRS<br/>MANAGEMENT</b> | Contracts & Agreements<br>Management              | The activities involved in managing the legal aspects of negotiating, establishing, maintaining and reviewing contracts and agreements. |   | Records documenting the negotiation, establishment and review of contracts and agreements between the institution and third parties : agreements and contracts under seal (by deed). | Potentially. | Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject. | Potentially. | Artcile 9, S.2(f), processing is necessary for the establishment, exercise or defence of legal claims. |

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| <b>LEGAL AFFAIRS<br/>MANAGEMENT</b> | Contracts & Agreements Management | The activities involved in managing the legal aspects of negotiating, establishing, maintaining and reviewing contracts and agreements.    |  | Records documenting the negotiation, establishment and review of contracts and agreements between the institution and third parties : other contracts and agreements.  | Potentially. | Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject. | Potentially. | Artcile 9, S.2(f), processing is necessary for the establishment, exercise or defence of legal claims. |
| <b>LEGAL AFFAIRS<br/>MANAGEMENT</b> | Legal Claims Management           | The activities involved in handling claims by or against the institution which do not proceed to litigation or settlement by an agreement. |  | Records documenting the provision of legal support and representation for the institution in dealing with claims by or against the institution which do not proceed to litigation or settlement by an agreement. | Potentially. | Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject. | Potentially. | Artcile 9, S.2(f), processing is necessary for the establishment, exercise or defence of legal claims. |
| <b>LEGAL AFFAIRS<br/>MANAGEMENT</b> | Litigation Management             | The activities involved in managing legal proceedings between the institution and other parties.   | Activities include: briefing counsel; providing documents required by a court; consulting with other agencies. | Records documenting litigation between the institution and third parties where legal precedents are set.   | Potentially. | Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject. | Potentially. | Artcile 9, S.2(f), processing is necessary for the establishment, exercise or defence of legal claims. |

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| <b>LEGAL AFFAIRS<br/>MANAGEMENT</b> | Litigation Management | The activities involved in managing legal proceedings between the institution and other parties.  | Activities include: briefing counsel; providing documents required by a court; consulting with other agencies.   | Records documenting litigation between the institution and third parties which does not set legal precedents. | Potentially. | Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject. | Potentially. | Article 9, S.2(f), processing is necessary for the establishment, exercise or defence of legal claims. |
| <b>LEGAL AFFAIRS<br/>MANAGEMENT</b> | Legal Advice          | The activities associated with providing legal opinions and advice to the institution.            | Records documenting legal advice requested by, and provided to, the institution concerning e.g.:<br>- interpretation of legislation affecting the institution's legal framework, governance, responsibilities or operations<br>- proposals for new legislation affecting the institution's legal framework, governance, responsibilities or operations<br>- the institution's relationships with government bodies and HE regulators<br>- industrial relations issues<br>- health, safety and environmental issues |   | Potentially. | Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject. | Potentially. | Article 9, S.2(f), processing is necessary for the establishment, exercise or defence of legal claims. |
| <b>LEGAL AFFAIRS<br/>MANAGEMENT</b> | Legal Advice          | The activities associated with providing opinions and advice to the institution on legal matters. | Records documenting legal advice on other matters requested by, and provided to, the institution.  |   | Potentially. | Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject. | Potentially. | Article 9, S.2(f), processing is necessary for the establishment, exercise or defence of legal claims. |



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| <b>ORGANISATIONAL DEVELOPMENT</b> |                                     | The function of developing the institution's organisational structure and culture.                            |  |   |  |  |  |  |
| <b>ORGANISATIONAL DEVELOPMENT</b> | Organisational Strategy Development | The activities involved in developing and establishing the institution's organisational development strategy. | Activities include: identifying requirements for new/revised strategy; undertaking research; developing strategy proposals; consulting on strategy proposals; reviewing and revising strategy proposals in the light of comments received; drafting strategy documents; consulting on strategy documents; reviewing draft strategy documents in the light of comments received; producing final strategy documents; submitting final strategy documents for formal endorsement; formally endorsing strategy documents; disseminating strategy documents; reviewing strategy. | Records documenting the development and establishment of the institution's organisational strategy: key records.    |  |  |  |  |
| <b>ORGANISATIONAL DEVELOPMENT</b> | Organisational Strategy Development | The activities involved in developing and establishing the institution's organisational development strategy. | Activities include: identifying requirements for new/revised strategy; undertaking research; developing strategy proposals; consulting on strategy proposals; reviewing and revising strategy proposals in the light of comments received; drafting strategy documents; consulting on strategy documents; reviewing draft strategy documents in the light of comments received; producing final strategy documents; submitting final strategy documents for formal endorsement; formally endorsing strategy documents; disseminating strategy documents; reviewing strategy. | Records documenting the development and establishment of the institution's organisational strategy: working papers. |  |  |  |  |

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| <b>ORGANISATIONAL DEVELOPMENT</b> | Organisational Development Policy Development | The activities involved in developing and establishing the institution's policies on organisational development. | Activities include: identifying requirements for new/revised policy; undertaking research; developing policy proposals; consulting on policy proposals; reviewing and revising policy proposals in the light of comments received; drafting policy documents; consulting on policy documents; reviewing draft policy documents in the light of comments received; producing final policy documents; submitting final policy documents for formal approval; formally approving policy documents; disseminating policy documents; reviewing policy. | Records documenting the development and establishment of the institution's organisational development policies: key records.    |  |  |  |  |
| <b>ORGANISATIONAL DEVELOPMENT</b> | Organisational Development Policy Development | The activities involved in developing and establishing the institution's policies on organisational development. | Activities include: identifying requirements for new/revised policy; undertaking research; developing policy proposals; consulting on policy proposals; reviewing and revising policy proposals in the light of comments received; drafting policy documents; consulting on policy documents; reviewing draft policy documents in the light of comments received; producing final policy documents; submitting final policy documents for formal approval; formally approving policy documents; disseminating policy documents; reviewing policy. | Records documenting the development and establishment of the institution's organisational development policies: working papers. |  |  |  |  |

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| <b>ORGANISATIONAL DEVELOPMENT</b> | Organisational Development Procedure Development | The activities involved in developing the institution's organisational development procedures. | Activities include: identifying needs for new/revised procedure; undertaking research; analysing work processes; drafting procedure documents; consulting on procedure documents; reviewing draft procedure documents in the light of comments received; trialling procedure; refining procedure as a result of trials; submitting final procedure documents for formal approval; formally approving procedure documents; disseminating procedure documents; reviewing procedure. | Records documenting the development of the institution's procedures relating to organisational development. |  |  |  |  |
| <b>ORGANISATIONAL DEVELOPMENT</b> | Organisational Development Procedure Development | The activities involved in developing the institution's organisational development procedures. | Activities include: identifying needs for new/revised procedure; undertaking research; analysing work processes; drafting procedure documents; consulting on procedure documents; reviewing draft procedure documents in the light of comments received; trialling procedure; refining procedure as a result of trials; submitting final procedure documents for formal approval; formally approving procedure documents; disseminating procedure documents; reviewing procedure. | Master copies of procedures relating to organisational development.   |  |  |  |  |
| <b>ORGANISATIONAL DEVELOPMENT</b> | Organisational Restructuring                     | The activities involved in changing the institution's organisational structure.                | Activities include: creating new business units; merging/demerging or otherwise restructuring existing business units; closing business units.  | Records documenting the management of individual organisational restructuring processes.                    |  |  |  |  |

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| <b>EQUALITY &amp; DIVERSITY MANAGEMENT</b> |   | The function of managing the institution's compliance with legislation on equal opportunities.            |  |   |  |  |  |  |
| <b>EQUALITY &amp; DIVERSITY MANAGEMENT</b> | Equality & Diversity Strategy Development | The activities involved in developing and establishing the institution's equality and diversity strategy. | Activities include: identifying requirements for new/revised strategy; undertaking research; developing strategy proposals; consulting on strategy proposals; reviewing and revising strategy proposals in the light of comments received; drafting strategy documents; consulting on strategy documents; reviewing draft strategy documents in the light of comments received; producing final strategy documents; submitting final strategy documents for formal endorsement; formally endorsing strategy documents; disseminating strategy documents; reviewing strategy. | Records documenting the development and establishment of the institution's equality and diversity strategy: key records.    |  |  |  |  |
| <b>EQUALITY &amp; DIVERSITY MANAGEMENT</b> | Equality & Diversity Strategy Development | The activities involved in developing and establishing the institution's equality and diversity strategy. | Activities include: identifying requirements for new/revised strategy; undertaking research; developing strategy proposals; consulting on strategy proposals; reviewing and revising strategy proposals in the light of comments received; drafting strategy documents; consulting on strategy documents; reviewing draft strategy documents in the light of comments received; producing final strategy documents; submitting final strategy documents for formal endorsement; formally endorsing strategy documents; disseminating strategy documents; reviewing strategy. | Records documenting the development and establishment of the institution's equality and diversity strategy: working papers. |  |  |  |  |

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| <b>EQUALITY &amp; DIVERSITY MANAGEMENT</b> | Equality & Diversity Policy Development | The activities involved in developing and establishing the institution's policies on equality and diversity. | <p>Activities include: identifying requirements for new/revised policy; undertaking research; developing policy proposals; consulting on policy proposals; reviewing and revising policy proposals in the light of comments received; drafting policy documents; consulting on policy documents; reviewing draft policy documents in the light of comments received; producing final policy documents; submitting final policy documents for formal approval; formally approving policy documents; disseminating policy documents; reviewing policy.</p> <p>Activities include: preparing a race equality policy (Note 1).</p> | Records documenting the development and establishment of the institution's policies on equality and diversity: key records.    |  |  |  |  |
| <b>EQUALITY &amp; DIVERSITY MANAGEMENT</b> | Equality & Diversity Policy Development | The activities involved in developing and establishing the institution's policies on equality and diversity. | <p>Activities include: identifying requirements for new/revised policy; undertaking research; developing policy proposals; consulting on policy proposals; reviewing and revising policy proposals in the light of comments received; drafting policy documents; consulting on policy documents; reviewing draft policy documents in the light of comments received; producing final policy documents; submitting final policy documents for formal approval; formally approving policy documents; disseminating policy documents; reviewing policy.</p> <p>Activities include: preparing a race equality policy (Note 1).</p> | Records documenting the development and establishment of the institution's policies on equality and diversity: working papers. |  |  |  |  |

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| <b>EQUALITY &amp; DIVERSITY<br/>MANAGEMENT</b> | Equality & Diversity<br>Procedure Development | The activities involved in developing the institution's procedures for managing equality and diversity. | Activities include: identifying needs for new/revised procedure; undertaking research; analysing work processes; drafting procedure documents; consulting on procedure documents; reviewing draft procedure documents in the light of comments received; trialling procedure; refining procedure as a result of trials; submitting final procedure documents for formal approval; formally approving procedure documents; disseminating procedure documents; reviewing procedure. | Records documenting the development of the institution's procedures relating to the management of equality and diversity. |  |  |  |  |
| <b>EQUALITY &amp; DIVERSITY<br/>MANAGEMENT</b> | Equality & Diversity<br>Procedure Development | The activities involved in developing the institution's procedures for managing equality and diversity. | Activities include: identifying needs for new/revised procedure; undertaking research; analysing work processes; drafting procedure documents; consulting on procedure documents; reviewing draft procedure documents in the light of comments received; trialling procedure; refining procedure as a result of trials; submitting final procedure documents for formal approval; formally approving procedure documents; disseminating procedure documents; reviewing procedure. | Master copies of procedures relating to the management of equality and diversity.   |  |  |  |  |
| <b>EQUALITY &amp; DIVERSITY<br/>MANAGEMENT</b> | Equality & Diversity<br>Monitoring            | The activities involved in monitoring equal opportunities within the institution.                       | Activities include: collecting data on student recruitment, admissions, progression and attainment, and on employee recruitment and promotion; analysing data in relation to equality between men and women, disabled persons, persons of different ages and of different racial groups; preparing and submitting formal reports of equal opportunities monitoring to external organisations.   | Records containing summary statistical information resulting from equality monitoring.                                    |  |  |  |  |

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| <b>EQUALITY &amp; DIVERSITY MANAGEMENT</b> | Equality & Diversity Training      | The activities involved in providing training for institutional staff on equality and diversity issues.  | <p>Activities include: identifying training requirements; analysing training needs; identifying and evaluating training options.</p> <p>For external training, activities include: identifying and evaluating training programmes; organising attendance at training events; evaluating training programmes/events.</p> <p>For internal training, activities include: developing training programmes; organising and arranging training events; delivering training; evaluating training programmes/events.</p> | Records documenting the development and delivery of training on equality and diversity issues and procedures. | Yes (eg records of persons completing training etc). | Article 6 S.1 (b), necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract. |      |  |
| <b>EQUALITY &amp; DIVERSITY MANAGEMENT</b> | Discrimination Complaints Handling | The activities involved in handling formal complaints about (alleged) discrimination by or within the institution and against staff or students on the grounds of gender, disability, race, religion, sexuality, or age. | Activities include: reviewing and investigating complaints; informing complainants about the outcomes of reviews and investigations; responding to any further action taken by complainants.  | Records documenting the handling of formal complaints about discrimination by or within the institution.      | Yes.   | Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject.   | Yes. | <p>Article 9, S.2 (a), explicit consent.</p> <p>Article 9, S.2 (b), necessary for the purposes of carrying out the obligations and exercising specific rights of the controller or of the data subject in the field of employment and social security and social protection law.</p> <p>Article 9, S.2 (g), necessary for reasons of substantial public interest, on the basis of Union or Member State law which shall be proportionate to the aim pursued, respect the essence of the right to data protection and provide for suitable and specific measures to safeguard the fundamental rights and the interests of the data subject.</p> |

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| <b>EQUALITY &amp; DIVERSITY MANAGEMENT</b> | Ethnic Minority Mentoring Scheme Co-ordination | The activities involved in co-ordinating the institution's participation in the national Ethnic Minority Mentoring Scheme. | Activities include: handling applications for the Scheme; matching mentors with mentees; monitoring the mentor-mentee relationship and progress.   | Records documenting the handling of individual applications for the Scheme and monitoring of the mentor-mentee relationship and outcomes. | Yes. | Article 6, S.1 (a), consent. | Yes. | Article 9, S.2 (a), explicit consent. |
| <b>EQUALITY &amp; DIVERSITY MANAGEMENT</b> | Disability Equality Compliance                 | The activities involved in complying with legislation on disability equality.  | Activities include: preparing and publishing the institution's Disability Equality Scheme (NOTE 1), including publishing a revised Scheme every three years; preparing and publishing the institution's annual reports on the implementation of its Disability Equality Scheme (NOTE 2); assessing the impact of the institution's policies and practices on equality for disabled people. | Records documenting the preparation/revision of the institution's Disability Equality Scheme.   |      |                              |      |                                       |
| <b>EQUALITY &amp; DIVERSITY MANAGEMENT</b> | Disability Equality Compliance                 | The activities involved in complying with legislation on disability equality.  | Activities include: preparing and publishing the institution's Disability Equality Scheme (NOTE 1), including publishing a revised Scheme every three years; preparing and publishing the institution's annual reports on the implementation of its Disability Equality Scheme (NOTE 2); assessing the impact of the institution's policies and practices on equality for disabled people. | Records documenting the preparation of annual reports on the implementation of the institution's Disability Equality Scheme.              |      |                              |      |                                       |



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| <b>EQUALITY &amp; DIVERSITY MANAGEMENT</b> | Disability Equality Compliance | The activities involved in complying with legislation on disability equality.                                      | Activities include: preparing and publishing the institution's Disability Equality Scheme (NOTE 1), including publishing a revised Scheme every three years; preparing and publishing the institution's annual reports on the implementation of its Disability Equality Scheme (NOTE 2); assessing the impact of the institution's policies and practices on equality for disabled people. | Records documenting assessments of the impact of the institution's policies and practices on equality for disabled persons. |              |   |              |  |
| <b>EQUALITY &amp; DIVERSITY MANAGEMENT</b> | Race Equality Compliance       | The activities involved in complying with the requirements of legislation on equality for different racial groups. | Activities include: preparing and publishing the institution's race equality policy (NOTE 1); assessing the impact of the institution's policies on students and staff from different racial groups, and publishing the results (NOTE 2); monitoring, by racial group, student admission and progress, and employee recruitment and career progress, and publishing the results (NOTE 3).  | Records documenting the preparation of the institution's race equality policy.  |              |   |              |  |
| <b>EQUALITY &amp; DIVERSITY MANAGEMENT</b> | Race Equality Compliance       | The activities involved in complying with the requirements of legislation on equality for different racial groups. | Activities include: preparing and publishing the institution's race equality policy (NOTE 1); assessing the impact of the institution's policies on students and staff from different racial groups, and publishing the results (NOTE 2); monitoring, by racial group, student admission and progress, and employee recruitment and career progress, and publishing the results (NOTE 3).  | Records documenting assessments of the impact of the institution's policies on equality between different racial groups.    | Potentially. | Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject. | Potentially. | Article 9, S.2 (b), necessary for the purposes of carrying out the obligations and exercising specific rights of the controller or of the data subject in the field of employment and social security and social protection law.<br>Article 9, S.2 (g), necessary for reasons of substantial public interest, on the basis of Union or Member State law which shall be proportionate to the aim pursued, respect the essence of the right to data protection and provide for suitable and specific measures to safeguard the fundamental rights and the interests of the data subject. |

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| <b>EQUALITY &amp; DIVERSITY MANAGEMENT</b> | Race Equality Compliance   | The activities involved in complying with the requirements of legislation on equality for different racial groups. | Activities include: preparing and publishing the institution's race equality policy (NOTE 1); assessing the impact of the institution's policies on students and staff from different racial groups, and publishing the results (NOTE 2); monitoring, by racial group, student admission and progress, and employee recruitment and career progress, and publishing the results (NOTE 3).     | Records documenting the monitoring, by racial group, of student admission and progress.           | Potentially. | Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject. | Potentially. | Article 9, S.2 (g), necessary for reasons of substantial public interest, on the basis of Union or Member State law which shall be proportionate to the aim pursued, respect the essence of the right to data protection and provide for suitable and specific measures to safeguard the fundamental rights and the interests of the data subject.   |
| <b>EQUALITY &amp; DIVERSITY MANAGEMENT</b> | Race Equality Compliance   | The activities involved in complying with the requirements of legislation on equality for different racial groups. | Activities include: preparing and publishing the institution's race equality policy (NOTE 1); assessing the impact of the institution's policies on students and staff from different racial groups, and publishing the results (NOTE 2); monitoring, by racial group, student admission and progress, and employee recruitment and career progress, and publishing the results (NOTE 3).     | Records documenting the monitoring, by racial group, of employee recruitment and career progress. | Potentially. | Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject. | Potentially. | Article 9, S.2 (b), necessary for the purposes of carrying out the obligations and exercising specific rights of the controller or of the data subject in the field of employment and social security and social protection law.<br>Article 9, S.2 (g), necessary for reasons of substantial public interest, on the basis of Union or Member State law which shall be proportionate to the aim pursued, respect the essence of the right to data protection and provide for suitable and specific measures to safeguard the fundamental rights and the interests of the data subject. |
| <b>EQUALITY &amp; DIVERSITY MANAGEMENT</b> | Gender Equality Compliance | The activities involved in complying with the requirements of legislation on equality for men and women.           | Activities include: preparing and publishing the institution's Gender Equality Scheme (NOTE 1), including publishing a revised scheme every three years (NOTE 2); preparing and publishing the institution's annual reports on the implementation of its Gender Equality Scheme (NOTE 3); assessing the impact of the institution's policies and practices on equality between men and women. | Records documenting the preparation/revision of the institution's Gender Equality Scheme.         |              |   |              |  |

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| <b>EQUALITY &amp; DIVERSITY MANAGEMENT</b> | Gender Equality Compliance | The activities involved in complying with the requirements of legislation on equality for men and women. | Activities include: preparing and publishing the institution's Gender Equality Scheme (NOTE 1), including publishing a revised scheme every three years (NOTE 2); preparing and publishing the institution's annual reports on the implementation of its Gender Equality Scheme (NOTE 3); assessing the impact of the institution's policies and practices on equality between men and women. | Records documenting the preparation of annual reports on the implementation of the institution's Gender Equality Scheme. | Potentially. | Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject. | Potentially. | Article 9, S.2 (b), necessary for the purposes of carrying out the obligations and exercising specific rights of the controller or of the data subject in the field of employment and social security and social protection law.<br>Article 9, S.2 (g), necessary for reasons of substantial public interest, on the basis of Union or Member State law which shall be proportionate to the aim pursued, respect the essence of the right to data protection and provide for suitable and specific measures to safeguard the fundamental rights and the interests of the data subject. |
| <b>EQUALITY &amp; DIVERSITY MANAGEMENT</b> | Gender Equality Compliance | The activities involved in complying with the requirements of legislation on equality for men and women. | Activities include: preparing and publishing the institution's Gender Equality Scheme (NOTE 1), including publishing a revised scheme every three years (NOTE 2); preparing and publishing the institution's annual reports on the implementation of its Gender Equality Scheme (NOTE 3); assessing the impact of the institution's policies and practices on equality between men and women. | Records documenting assessments of the impact of the institution's policies and practices on equality for men and women. | Potentially. | Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject. | Potentially. | Article 9, S.2 (b), necessary for the purposes of carrying out the obligations and exercising specific rights of the controller or of the data subject in the field of employment and social security and social protection law. Article 9, S.2 (g), necessary for reasons of substantial public interest, on the basis of Union or Member State law which shall be proportionate to the aim pursued, respect the essence of the right to data protection and provide for suitable and specific measures to safeguard the fundamental rights and the interests of the data subject.    |

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| HEALTH & SAFETY<br>MANAGEMENT |                                      | The function of managing the impact of the institution's operations on the health and safety of its staff, students and others while on its premises and in other places where they may be affected by its operations, and of ensuring compliance with legislation on health and safety matters. |  |   |  |  |  |  |
| HEALTH & SAFETY<br>MANAGEMENT | Health & Safety Strategy Development | The activities involved in developing and establishing the institution's health and safety strategy.   | Activities include: identifying requirements for new/revised strategy; undertaking research; developing strategy proposals; consulting on strategy proposals; reviewing and revising strategy proposals in the light of comments received; drafting strategy documents; consulting on strategy documents; reviewing draft strategy documents in the light of comments received; producing final strategy documents; submitting final strategy documents for formal endorsement; formally endorsing strategy documents; disseminating strategy documents; reviewing strategy. | Records documenting the development and establishment of the institution's health and safety strategy: key records. |  |  |  |  |

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| <b>HEALTH &amp; SAFETY<br/>MANAGEMENT</b> | Health & Safety Strategy<br>Development             | The activities involved in<br>developing and establishing<br>the institution's health and<br>safety strategy.            | Activities include: identifying<br>requirements for<br>new/revised strategy;<br>undertaking research;<br>developing strategy<br>proposals; consulting on<br>strategy proposals;<br>reviewing and revising<br>strategy proposals in the<br>light of comments received;<br>drafting strategy<br>documents; consulting on<br>strategy documents;<br>reviewing draft strategy<br>documents in the light of<br>comments received;<br>producing final strategy<br>documents; submitting final<br>strategy documents for<br>formal endorsement;<br>formally endorsing strategy<br>documents; disseminating<br>strategy documents;<br>reviewing strategy. | Records documenting the<br>development and<br>establishment of the<br>institution's health and<br>safety strategy: working<br>papers. |  |  |  |  |
| <b>HEALTH &amp; SAFETY<br/>MANAGEMENT</b> | Health & Safety<br>Management Policy<br>Development | The activities involved in<br>developing and establishing<br>the institution's policies on<br>health and safety matters. | Activities include: identifying<br>requirements for<br>new/revised policy;<br>undertaking research;<br>developing policy proposals;<br>consulting on policy<br>proposals; reviewing and<br>revising policy proposals in<br>the light of comments<br>received; drafting policy<br>documents; consulting on<br>policy documents; reviewing<br>draft policy documents in<br>the light of comments<br>received; producing final<br>policy documents;<br>submitting final policy<br>documents for formal<br>approval; formally<br>approving policy<br>documents; disseminating<br>policy documents; reviewing<br>policy.                               | Records documenting the<br>development and<br>establishment of the<br>institution's policies on<br>health and safety: key<br>records. |  |  |  |  |

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| <b>HEALTH &amp; SAFETY MANAGEMENT</b> | Health & Safety Management Policy Development    | The activities involved in developing and establishing the institution's policies on health and safety matters. | Activities include: identifying requirements for new/revised policy; undertaking research; developing policy proposals; consulting on policy proposals; reviewing and revising policy proposals in the light of comments received; drafting policy documents; consulting on policy documents; reviewing draft policy documents in the light of comments received; producing final policy documents; submitting final policy documents for formal approval; formally approving policy documents; disseminating policy documents; reviewing policy. | Records documenting the development and establishment of the institution's policies on health and safety: working papers. |  |  |  |  |
| <b>HEALTH &amp; SAFETY MANAGEMENT</b> | Health & Safety Management Procedure Development | The activities involved in developing the institution's procedures for the management of health and safety.     | Activities include: identifying needs for new/revised procedure; undertaking research; analysing work processes; drafting procedure documents; consulting on procedure documents; reviewing draft procedure documents in the light of comments received; trialling procedure; refining procedure as a result of trials; submitting final procedure documents for formal approval; formally approving procedure documents; disseminating procedure documents; reviewing procedure.   | Records documenting the development of the institution's procedures relating to the management of health and safety.      |  |  |  |  |
| <b>HEALTH &amp; SAFETY MANAGEMENT</b> | Health & Safety Management Procedure Development | The activities involved in developing the institution's procedures for the management of health and safety.     | Activities include: identifying needs for new/revised procedure; undertaking research; analysing work processes; drafting procedure documents; consulting on procedure documents; reviewing draft procedure documents in the light of comments received; trialling procedure; refining procedure as a result of trials; submitting final procedure documents for formal approval; formally approving procedure documents; disseminating procedure documents; reviewing procedure.   | Master copies of procedures relating to the management of health and safety.  |  |  |  |  |

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| <b>HEALTH &amp; SAFETY MANAGEMENT</b> | Health & Safety Inspection   | The activities involved in conducting health and safety inspections of the institution's premises and operations.   |   | Records documenting the conduct and results of health and safety inspections of the institution's land, buildings, facilities or operations, and action taken to address issues raised.            |              |   |  |  |
| <b>HEALTH &amp; SAFETY MANAGEMENT</b> | Health & Safety Audit        | The activities involved in conducting health and safety audits of the institution's activities and operations.  | Activities include: planning audits; conducting audit investigations; preparing and delivering audit reports; reviewing and responding to audit reports.  | Records documenting the conduct and results of health and safety audits.   | Potentially. | Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject.   |  |  |
| <b>HEALTH &amp; SAFETY MANAGEMENT</b> | Health & Safety Consultation | The activities involved in consulting the institution's workforce, either directly or through representatives, on the management of health and safety matters within the institution. | Activities include fulfilling the institution's duties under the Safety Representatives and Safety Committees Regulations 1997 (SI 1997/500) and the Health and Safety (Consultation with Employees) Regulations 1996 (SI 1996/1513). | Records documenting notifications of appointments of safety representatives by trade unions under Regulation 3 of the Safety Representatives and Safety Committees Regulations 1977 (SI 1977/500). | Yes.         | Article 6 S.1 (b), necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract. Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject. |  |  |

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| HEALTH & SAFETY MANAGEMENT | Health & Safety Consultation | The activities involved in consulting the institution's workforce, either directly or through representatives, on the management of health and safety matters within the institution. | Activities include fulfilling the institution's duties under the Safety Representatives and Safety Committees Regulations 1997 (SI 1997/500) and the Health and Safety (Consultation with Employees) Regulations 1996 (SI 1996/1513). | Records documenting the provision of time off, and other facilities and assistance, for safety representatives appointed under the Safety Representatives and Safety Committees Regulations 1977 SI 1977/500).  | Yes. | Article 6 S.1 (b), necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract. Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject. |  |  |
| HEALTH & SAFETY MANAGEMENT | Health & Safety Consultation | The activities involved in consulting the institution's workforce, either directly or through representatives, on the management of health and safety matters within the institution. | Activities include fulfilling the institution's duties under the Safety Representatives and Safety Committees Regulations 1997 (SI 1997/500) and the Health and Safety (Consultation with Employees) Regulations 1996 (SI 1996/1513). | Records documenting consultations and other communications with safety representatives appointed under the Safety Representatives and Safety Committees Regulations 1977 (SI 1977/500).   | Yes. | Article 6 S.1 (b), necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract. Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject. |  |  |
| HEALTH & SAFETY MANAGEMENT | Health & Safety Consultation | The activities involved in consulting the institution's workforce, either directly or through representatives, on the management of health and safety matters within the institution. | Activities include fulfilling the institution's duties under the Safety Representatives and Safety Committees Regulations 1997 (SI 1997/500) and the Health and Safety (Consultation with Employees) Regulations 1996 (SI 1996/1513). | Records documenting the establishment of a safety committee to fulfil the institution's duty under s 2(7) of the Health and Safety at Work etc. Act 1974 (c. 37) and in accordance with Regulation 9 of the Safety Representatives and Safety Committees Regulations 1977 (SI 1977/500). Includes records documenting the objectives, role, functions, composition and administration of the committee. |      |   |  |  |



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| HEALTH & SAFETY MANAGEMENT | Health & Safety Consultation | The activities involved in consulting the institution's workforce, either directly or through representatives, on the management of health and safety matters within the institution. | Activities include fulfilling the institution's duties under the Safety Representatives and Safety Committees Regulations 1997 (SI 1997/500) and the Health and Safety (Consultation with Employees) Regulations 1996 (SI 1996/1513). | Records documenting the election of members of a safety committee formed under the Safety Representatives and Safety Committees Regulations 1977 (SI 1977/500).       | Yes. | Article 6 S.1 (b), necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract. Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject. |  |  |
| HEALTH & SAFETY MANAGEMENT | Health & Safety Consultation | The activities involved in consulting the institution's workforce, either directly or through representatives, on the management of health and safety matters within the institution. | Activities include fulfilling the institution's duties under the Safety Representatives and Safety Committees Regulations 1997 (SI 1997/500) and the Health and Safety (Consultation with Employees) Regulations 1996 (SI 1996/1513). | Records documenting the proceedings and decisions of a safety committee formed under the Safety Representatives and Safety Committees Regulations 1977 (SI 1977/500). |      |   |  |  |
| HEALTH & SAFETY MANAGEMENT | Health & Safety Consultation | The activities involved in consulting the institution's workforce, either directly or through representatives, on the management of health and safety matters within the institution. | Activities include fulfilling the institution's duties under the Safety Representatives and Safety Committees Regulations 1997 (SI 1997/500) and the Health and Safety (Consultation with Employees) Regulations 1996 (SI 1996/1513). | Records documenting the election of representatives of employee safety under the Health and Safety (Consultation with Employees) Regulations 1996 (SI 1996/1513).     | Yes. | Article 6 S.1 (b), necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract. Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject. |  |  |

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| HEALTH & SAFETY MANAGEMENT | Health & Safety Consultation | The activities involved in consulting the institution's workforce, either directly or through representatives, on the management of health and safety matters within the institution. | Activities include fulfilling the institution's duties under the Safety Representatives and Safety Committees Regulations 1997 (SI 1997/500) and the Health and Safety (Consultation with Employees) Regulations 1996 (SI 1996/1513). | Records documenting consultations and other communications with representatives of employee safety elected under the Health and Safety (Consultation with Employees) Regulations 1996 (SI 1996/1513), or with all employees directly.                |      |   |  |  |
| HEALTH & SAFETY MANAGEMENT | Health & Safety Consultation | The activities involved in consulting the institution's workforce, either directly or through representatives, on the management of health and safety matters within the institution. | Activities include fulfilling the institution's duties under the Safety Representatives and Safety Committees Regulations 1997 (SI 1997/500) and the Health and Safety (Consultation with Employees) Regulations 1996 (SI 1996/1513). | Records documenting the provision of training (specifically related to their functions as representatives) for representatives of employee safety elected under the Health and Safety (Consultation with Employees) Regulations 1996 (SI 1996/1513). | Yes. | Article 6 S.1 (b), necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract. Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject. |  |  |
| HEALTH & SAFETY MANAGEMENT | Health & Safety Consultation | The activities involved in consulting the institution's workforce, either directly or through representatives, on the management of health and safety matters within the institution. | Activities include fulfilling the institution's duties under the Safety Representatives and Safety Committees Regulations 1997 (SI 1997/500) and the Health and Safety (Consultation with Employees) Regulations 1996 (SI 1996/1513). | Records documenting the provision of time off, and other facilities and assistance, for representatives of employee safety appointed under the Health and Safety (Consultation with Employees) Regulations 1996 (SI 1996/1513).                      | Yes. | Article 6 S.1 (b), necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract. Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject. |  |  |

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| <b>HEALTH &amp; SAFETY MANAGEMENT</b> | Health & Safety Information, Instruction & Training Provision      | The activities involved in providing information, instruction and training on health and safety matters to staff, students and other who use the institution's facilities.  |   | Records documenting the provision of health and safety information, instruction and training for employees, students and others, except where specified elsewhere in this Records Retention Schedule.   | Yes. | Article 6 S.1 (b), necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract. Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject. |  |  |
| <b>HEALTH &amp; SAFETY MANAGEMENT</b> | Health & Safety Hazard Identification & Risk Assessment            | The activities involved in identifying health and safety hazards in the institution's premises or caused by its operations, conducting risk assessments to establish the likelihood and consequences of those risks and implementing appropriate measures to eliminate the risks or to mitigate their consequences. |   | Records documenting the conduct, review and revision of risk assessments made to fulfil the institution's duties under Regulation 3 of the Management of Health and Safety at Work Regulations 1999 (SI 1999/3242) and except where specified elsewhere in this Records Retention Schedule. |      |   |  |  |
| <b>HEALTH &amp; SAFETY MANAGEMENT</b> | Health & Safety Hazard Exposure Control - Display Screen Equipment | The activities involved in controlling the exposure of staff to risks associated with use of display screen equipment.  | Activities include fulfilling the institution's duties under the Health & Safety (Display Screen) Equipment Regulations 1992 (SI 1992/2792) by: assessing the risks to health and safety created by using workstations (Regulation 2); providing training (Regulation 6) and information (Regulation 7) for employees using workstations. | Records documenting the conduct, review and revision of assessments of risks to health and safety created by using workstations, to fulfil the institution's duties under Regulation 2 of the Health & Safety (Display Screen) Equipment Regulations 1992 (SI 1992/2792).                   |      |   |  |  |

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| <b>HEALTH &amp; SAFETY MANAGEMENT</b> | Health & Safety Hazard Exposure Control - Display Screen Equipment | The activities involved in controlling the exposure of staff to risks associated with use of display screen equipment.  | Activities include fulfilling the institution's duties under the Health & Safety (Display Screen) Equipment Regulations 1992 (SI 1992/2792) by: assessing the risks to health and safety created by using workstations (Regulation 2); providing training (Regulation 6) and information (Regulation 7) for employees using workstations.  | Records documenting the provision of training and information for employees using workstations, to fulfil the institution's duties under Regulations 6 and 7 of the Health & Safety (Display Screen) Equipment Regulations 1992 (SI 1992/2792).                 | Yes. | Article 6 S.1 (b), necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract. Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject. |  |  |
| <b>HEALTH &amp; SAFETY MANAGEMENT</b> | Health & Safety Hazard Exposure Control - Noise                    | The activities involved in controlling the exposure of staff, students and others to noise in the institution's premises or in other places affected by its operations. | Activities include fulfilling the institution's duties under the Control of Noise at Work Regulations 2005 (SI 2005/1643) by: assessing the risks to health and safety created by exposure to noise (Regulation 5); providing (Regulation 7) and maintaining (Regulation 8) personal protective equipment to control exposure to noise; conducting health surveillance of employees who are exposed to noise (Regulation 9); providing information, instruction and training for employees exposed to noise (Regulation 10). | Records documenting the conduct, review and revision of assessments of the risks to health and safety created by exposure to noise, made to fulfil the institution's duties under Regulation 5 of the Control of Noise at Work Regulations 2005 (SI 2005/1643). | Yes. | Article 6 S.1 (b), necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract. Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject. |  |  |
| <b>HEALTH &amp; SAFETY MANAGEMENT</b> | Health & Safety Hazard Exposure Control - Noise                    | The activities involved in controlling the exposure of staff, students and others to noise in the institution's premises or in other places affected by its operations. | Activities include fulfilling the institution's duties under the Control of Noise at Work Regulations 2005 (SI 2005/1643) by: assessing the risks to health and safety created by exposure to noise (Regulation 5); providing (Regulation 7) and maintaining (Regulation 8) equipment to control exposure to noise; conducting health surveillance of employees who are exposed to noise (Regulation 9); providing information, instruction and training for employees exposed to noise (Regulation 10).                     | Records documenting the provision of personal protective equipment to employees, to fulfil the institution's duties under Regulation 7 of the Control of Noise at Work Regulations 2005 (SI 2005/1643).   | Yes. | Article 6 S.1 (b), necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract. Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject. |  |  |

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| <b>HEALTH &amp; SAFETY MANAGEMENT</b> | Health & Safety Hazard Exposure Control - Noise | The activities involved in controlling the exposure of staff, students and others to noise in the institution's premises or in other places affected by its operations. | Activities include fulfilling the institution's duties under the Control of Noise at Work Regulations 2005 (SI 2005/1643) by: assessing the risks to health and safety created by exposure to noise (Regulation 5); providing (Regulation 7) and maintaining (Regulation 8) equipment to control exposure to noise; conducting health surveillance of employees who are exposed to noise (Regulation 9); providing information, instruction and training for employees exposed to noise (Regulation 10). | Records documenting the maintenance of equipment provided to control exposure to noise, to fulfil the institution's duties under Regulation 8 of the Control of Noise at Work Regulations 2005 (SI 2005/1643).    |      |   |              |  |
| <b>HEALTH &amp; SAFETY MANAGEMENT</b> | Health & Safety Hazard Exposure Control - Noise | The activities involved in controlling the exposure of staff, students and others to noise in the institution's premises or in other places affected by its operations. | Activities include fulfilling the institution's duties under the Control of Noise at Work Regulations 2005 (SI 2005/1643) by: assessing the risks to health and safety created by exposure to noise (Regulation 5); providing (Regulation 7) and maintaining (Regulation 8) equipment to control exposure to noise; conducting health surveillance of employees who are exposed to noise (Regulation 9); providing information, instruction and training for employees exposed to noise (Regulation 10). | Records documenting health surveillance of employees who are exposed to noise, carried out to fulfil the institution's duties under Regulation 9 of the Control of Noise at Work Regulations 2005 (SI 2005/1643). | Yes. | Article 6 S.1 (a), consent. Article 6 S.1 (b), necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract. Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject. | Potentially. | Article 9, S.2 (a), explicit consent. Article 9, S.2 (b), necessary for the purposes of carrying out the obligations and exercising specific rights of the controller or of the data subject in the field of employment and social security and social protection law. Article 9, S.2 (h), necessary for the purposes of preventive or occupational medicine, for the assessment of the working capacity of the employee, medical diagnosis, the provision of health or social care or treatment or the management of health or social care systems and services on the basis of Union or Member State law or pursuant to contract with a health professional. |

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| <b>HEALTH &amp; SAFETY MANAGEMENT</b> | Health & Safety Hazard Exposure Control - Noise                | The activities involved in controlling the exposure of staff, students and others to noise in the institution's premises or in other places affected by its operations.                | Activities include fulfilling the institution's duties under the Control of Noise at Work Regulations 2005 (SI 2005/1643) by: assessing the risks to health and safety created by exposure to noise (Regulation 5); providing (Regulation 7) and maintaining (Regulation 8) equipment to control exposure to noise; conducting health surveillance of employees who are exposed to noise (Regulation 9); providing information, instruction and training for employees exposed to noise (Regulation 10).   | Records documenting the provision of information, instruction and training for employees who are exposed to noise, to fulfil the institution's duties under Regulation 10 of the Control of Noise at Work Regulations 2005 (SI 2005/1643).               | Yes. | Article 6 S.1 (a), consent. Article 6 S.1 (b), necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract. Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject. | Potentially. | Article 9, S.2 (a), explicit consent. Article 9, S.2 (b), necessary for the purposes of carrying out the obligations and exercising specific rights of the controller or of the data subject in the field of employment and social security and social protection law. Article 9, S.2 (h), necessary for the purposes of preventive or occupational medicine, for the assessment of the working capacity of the employee, medical diagnosis, the provision of health or social care or treatment or the management of health or social care systems and services on the basis of Union or Member State law or pursuant to contract with a health professional. |
| <b>HEALTH &amp; SAFETY MANAGEMENT</b> | Health & Safety Hazard Exposure Control - Hazardous Substances | The activities involved in controlling the exposure of staff, students and others to hazardous substances in the institution's premises or in other places affected by its operations. | Activities include fulfilling the institution's duties under the Control of Substances Hazardous to Health Regulations 2002 (SI 2002/2677) by: keeping a list of employees exposed to Group 3 or Group 4 biological agents, and records of exposures, accidents and incidents involving these agents (Schedule 3, para. 4); assessing the risks to health created by exposure to substances hazardous to health (Regulation 6); providing (Regulation 7) and maintaining (Regulation 9) equipment to control exposure to substances hazardous to health; monitoring employees' exposure to substances hazardous to health (Regulation 10); conducting health surveillance of employees exposed to substances hazardous to health (Regulation 11); providing information, instruction and training for employees who are exposed to substances hazardous to health (Regulation 12); developing plans and information to deal with | List of employees exposed to Group 3 or Group 4 biological agents, and records of exposures, accidents and incidents involving these agents, required by Control of Substances Hazardous to Health Regulations 2002 (SI 2002/2677), Schedule 3, para. 4. | Yes. | Article 6 S.1 (a), consent. Article 6 S.1 (b), necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract. Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject. | Potentially. | Article 9, S.2 (a), explicit consent. Article 9, S.2 (b), necessary for the purposes of carrying out the obligations and exercising specific rights of the controller or of the data subject in the field of employment and social security and social protection law. Article 9, S.2 (h), necessary for the purposes of preventive or occupational medicine, for the assessment of the working capacity of the employee, medical diagnosis, the provision of health or social care or treatment or the management of health or social care systems and services on the basis of Union or Member State law or pursuant to contract with a health professional. |

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|                                       |  |  | accidents, incidents and emergencies related to the presence of substances hazardous to health, and responding to emergencies which occur (Regulation 13).  |   |  |  |  |  |
| <b>HEALTH &amp; SAFETY MANAGEMENT</b> | Health & Safety Hazard Exposure Control - Hazardous Substances | The activities involved in controlling the exposure of staff, students and others to hazardous substances in the institution's premises or in other places affected by its operations. | Activities include fulfilling the institution's duties under the Control of Substances Hazardous to Health Regulations 2002 (SI 2002/2677) by: keeping a list of employees exposed to Group 3 or Group 4 biological agents, and records of exposures, accidents and incidents involving these agents (Schedule 3, para. 4); assessing the risks to health created by exposure to substances hazardous to health (Regulation 6); providing (Regulation 7) and maintaining (Regulation 9) equipment to control exposure to substances hazardous to health; monitoring employees' exposure to substances hazardous to health (Regulation 10); conducting health surveillance of employees exposed to substances hazardous to health (Regulation 11); providing information, instruction and training for employees who are exposed to substances hazardous to health (Regulation 12); developing plans and information to deal with accidents, incidents and emergencies related to the presence of substances hazardous to health, and responding to emergencies which occur (Regulation 13). | Records documenting the conduct, review and revision of assessments of the risks to health created by work with substances hazardous to health, to fulfil the institution's duties under Regulation 6 of the Control of Substances Hazardous to Health Regulations 2002 (SI 2002/2677). |  |  |  |  |



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| HEALTH & SAFETY MANAGEMENT | Health & Safety Hazard Exposure Control - Hazardous Substances | The activities involved in controlling the exposure of staff, students and others to hazardous substances in the institution's premises or in other places affected by its operations. | Activities include fulfilling the institution's duties under the Control of Substances Hazardous to Health Regulations 2002 (SI 2002/2677) by: keeping a list of employees exposed to Group 3 or Group 4 biological agents, and records of exposures, accidents and incidents involving these agents (Schedule 3, para. 4); assessing the risks to health created by exposure to substances hazardous to health (Regulation 6); providing (Regulation 7) and maintaining (Regulation 9) equipment to control exposure to substances hazardous to health; monitoring employees' exposure to substances hazardous to health (Regulation 10); conducting health surveillance of employees exposed to substances hazardous to health (Regulation 11); providing information, instruction and training for employees who are exposed to substances hazardous to health (Regulation 12); developing plans and information to deal with accidents, incidents and emergencies related to the presence of substances hazardous to health, and responding to emergencies which occur (Regulation 13). | Records documenting the maintenance of equipment provided to control exposure to substances hazardous to health, to fulfil the institution's duties under Regulation 9 of the Control of Substances Hazardous to Health Regulations 2002 (SI 2002/2677).                             |      |   |      |   |
| HEALTH & SAFETY MANAGEMENT | Health & Safety Hazard Exposure Control - Hazardous Substances | The activities involved in controlling the exposure of staff, students and others to hazardous substances in the institution's premises or in other places affected by its operations. | Activities include fulfilling the institution's duties under the Control of Substances Hazardous to Health Regulations 2002 (SI 2002/2677) by: keeping a list of employees exposed to Group 3 or Group 4 biological agents, and records of exposures, accidents and incidents involving these agents (Schedule 3, para. 4); assessing the risks to health created by exposure to substances hazardous to health (Regulation 6); providing (Regulation 7) and maintaining (Regulation 9) equipment to control  | Records documenting the conduct and results of monitoring the personal exposures of individual employees to substances hazardous to health, to fulfil the institution's duties under Regulation 10 of the Control of Substances Hazardous to Health Regulations 2002 (SI 2002/2677). | Yes. | Article 6 S.1 (a), consent.Article 6 S.1 (b), necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract.Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject. | Yes. | Article 9, S.2 (a), explicit consent.Article 9, S.2 (b), necessary for the purposes of carrying out the obligations and exercising specific rights of the controller or of the data subject in the field of employment and social security and social protection law.Article 9, S.2 (h), necessary for the purposes of preventive or occupational medicine, for the assessment of the working capacity of the employee, medical diagnosis, the provision of health or social care or treatment or the |



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|                                       |  |  | exposure to substances hazardous to health; monitoring employees' exposure to substances hazardous to health (Regulation 10); conducting health surveillance of employees exposed to substances hazardous to health (Regulation 11); providing information, instruction and training for employees who are exposed to substances hazardous to health (Regulation 12); developing plans and information to deal with accidents, incidents and emergencies related to the presence of substances hazardous to health, and responding to emergencies which occur (Regulation 13).  |   |      |   |      | management of health or social care systems and services on the basis of Union or Member State law or pursuant to contract with a health professional.   |
| <b>HEALTH &amp; SAFETY MANAGEMENT</b> | Health & Safety Hazard Exposure Control - Hazardous Substances | The activities involved in controlling the exposure of staff, students and others to hazardous substances in the institution's premises or in other places affected by its operations. | Activities include fulfilling the institution's duties under the Control of Substances Hazardous to Health Regulations 2002 (SI 2002/2677) by: keeping a list of employees exposed to Group 3 or Group 4 biological agents, and records of exposures, accidents and incidents involving these agents (Schedule 3, para. 4); assessing the risks to health created by exposure to substances hazardous to health (Regulation 6); providing (Regulation 7) and maintaining (Regulation 9) equipment to control exposure to substances hazardous to health; monitoring employees' exposure to substances hazardous to health (Regulation 10); conducting health surveillance of employees exposed to substances hazardous to health (Regulation 11); providing information, instruction and training for employees who are exposed to substances hazardous to health (Regulation 12); developing plans and information to deal with accidents, incidents and emergencies related to the presence of substances | Records documenting the conduct and results of monitoring employees' general exposure to substances hazardous to health, to fulfil the institution's duties under Regulation 10 of the Control of Substances Hazardous to Health Regulations 2002 (SI 2002/2677). | Yes. | Article 6 S.1 (a), consent. Article 6 S.1 (b), necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract. Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject. | Yes. | Article 9, S.2 (a), explicit consent. Article 9, S.2 (b), necessary for the purposes of carrying out the obligations and exercising specific rights of the controller or of the data subject in the field of employment and social security and social protection law. Article 9, S.2 (h), necessary for the purposes of preventive or occupational medicine, for the assessment of the working capacity of the employee, medical diagnosis, the provision of health or social care or treatment or the management of health or social care systems and services on the basis of Union or Member State law or pursuant to contract with a health professional. |

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|                                       |  |  | hazardous to health, and responding to emergencies which occur (Regulation 13).   |   |      |   |      |  |
| <b>HEALTH &amp; SAFETY MANAGEMENT</b> | Health & Safety Hazard Exposure Control - Hazardous Substances | The activities involved in controlling the exposure of staff, students and others to hazardous substances in the institution's premises or in other places affected by its operations. | Activities include fulfilling the institution's duties under the Control of Substances Hazardous to Health Regulations 2002 (SI 2002/2677) by: keeping a list of employees exposed to Group 3 or Group 4 biological agents, and records of exposures, accidents and incidents involving these agents (Schedule 3, para. 4); assessing the risks to health created by exposure to substances hazardous to health (Regulation 6); providing (Regulation 7) and maintaining (Regulation 9) equipment to control exposure to substances hazardous to health; monitoring employees' exposure to substances hazardous to health (Regulation 10); conducting health surveillance of employees exposed to substances hazardous to health (Regulation 11); providing information, instruction and training for employees who are exposed to substances hazardous to health (Regulation 12); developing plans and information to deal with accidents, incidents and emergencies related to the presence of substances hazardous to health, and responding to emergencies which occur (Regulation 13). | Records documenting health surveillance of individual employees who are exposed to substances hazardous to health, to fulfil the institution's duties under Regulation 11 of the Control of Substances Hazardous to Health Regulations 2002 (SI 2002/2677). | Yes. | Article 6 S.1 (a), consent. Article 6 S.1 (b), necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract. Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject. | Yes. | Article 9, S.2 (a), explicit consent. Article 9, S.2 (b), necessary for the purposes of carrying out the obligations and exercising specific rights of the controller or of the data subject in the field of employment and social security and social protection law. Article 9, S.2 (h), necessary for the purposes of preventive or occupational medicine, for the assessment of the working capacity of the employee, medical diagnosis, the provision of health or social care or treatment or the management of health or social care systems and services on the basis of Union or Member State law or pursuant to contract with a health professional. |

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| HEALTH & SAFETY MANAGEMENT | Health & Safety Hazard Exposure Control - Hazardous Substances | The activities involved in controlling the exposure of staff, students and others to hazardous substances in the institution's premises or in other places affected by its operations. | Activities include fulfilling the institution's duties under the Control of Substances Hazardous to Health Regulations 2002 (SI 2002/2677) by: keeping a list of employees exposed to Group 3 or Group 4 biological agents, and records of exposures, accidents and incidents involving these agents (Schedule 3, para. 4); assessing the risks to health created by exposure to substances hazardous to health (Regulation 6); providing (Regulation 7) and maintaining (Regulation 9) equipment to control exposure to substances hazardous to health; monitoring employees' exposure to substances hazardous to health (Regulation 10); conducting health surveillance of employees exposed to substances hazardous to health (Regulation 11); providing information, instruction and training for employees who are exposed to substances hazardous to health (Regulation 12); developing plans and information to deal with accidents, incidents and emergencies related to the presence of substances hazardous to health, and responding to emergencies which occur (Regulation 13). | Records documenting the provision of information, instruction and training for employees who are exposed to substances hazardous to health, to fulfil the institution's duties under Regulation 12 of the Control of Substances Hazardous to Health Regulations 2002 (SI 2002/2677).                               | Yes.                               | Article 6 S.1 (a), consent.Article 6 S.1 (b), necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract.Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject. | Potentially. | Article 9, S.2 (a), explicit consent.Article 9, S.2 (b), necessary for the purposes of carrying out the obligations and exercising specific rights of the controller or of the data subject in the field of employment and social security and social protection law.Article 9, S.2 (h), necessary for the purposes of preventive or occupational medicine, for the assessment of the working capacity of the employee, medical diagnosis, the provision of health or social care or treatment or the management of health or social care systems and services on the basis of Union or Member State law or pursuant to contract with a health professional. |
| HEALTH & SAFETY MANAGEMENT | Health & Safety Hazard Exposure Control - Hazardous Substances | The activities involved in controlling the exposure of staff, students and others to hazardous substances in the institution's premises or in other places affected by its operations. | Activities include fulfilling the institution's duties under the Control of Substances Hazardous to Health Regulations 2002 (SI 2002/2677) by: keeping a list of employees exposed to Group 3 or Group 4 biological agents, and records of exposures, accidents and incidents involving these agents (Schedule 3, para. 4); assessing the risks to health created by exposure to substances hazardous to health (Regulation 6); providing (Regulation 7) and maintaining (Regulation 9) equipment to control  | Records documenting the development of plans and information to deal with accidents, incidents and emergencies related to the presence of substances hazardous to health, to fulfil the institution's duties under Regulation 13 of the Control of Substances Hazardous to Health Regulations 2002 (SI 2002/2677). | Yes (eg personal contact details). | Article 6 S.1 (b), necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract.   |              |  |

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|  |   |   | <p>exposure to substances hazardous to health; monitoring employees' exposure to substances hazardous to health (Regulation 10); conducting health surveillance of employees exposed to substances hazardous to health (Regulation 11); providing information, instruction and training for employees who are exposed to substances hazardous to health (Regulation 12); developing plans and information to deal with accidents, incidents and emergencies related to the presence of substances hazardous to health, and responding to emergencies which occur (Regulation 13).</p>  |  |  |  |  |  |
| <p><b>HEALTH &amp; SAFETY MANAGEMENT</b></p> | <p>Health &amp; Safety Hazard Exposure Control - Hazardous Substances</p> | <p>The activities involved in controlling the exposure of staff, students and others to hazardous substances in the institution's premises or in other places affected by its operations.</p> | <p>Activities include fulfilling the institution's duties under the Control of Substances Hazardous to Health Regulations 2002 (SI 2002/2677) by: keeping a list of employees exposed to Group 3 or Group 4 biological agents, and records of exposures, accidents and incidents involving these agents (Schedule 3, para. 4); assessing the risks to health created by exposure to substances hazardous to health (Regulation 6); providing (Regulation 7) and maintaining (Regulation 9) equipment to control exposure to substances hazardous to health; monitoring employees' exposure to substances hazardous to health (Regulation 10); conducting health surveillance of employees exposed to substances hazardous to health (Regulation 11); providing information, instruction and training for employees who are exposed to substances hazardous to health (Regulation 12); developing plans and information to deal with accidents, incidents and emergencies related to the presence of substances</p> | <p>Records documenting the institution's response to accidents, incidents and emergencies involving substances hazardous to health, to fulfil the institution's duties under Regulation 13 of the Control of Substances Hazardous to Health Regulations 2002 (SI 2002/2677).</p> |  |  |  |  |

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|                                       |  |  | hazardous to health, and responding to emergencies which occur (Regulation 13).   |  |  |  |  |  |
| <b>HEALTH &amp; SAFETY MANAGEMENT</b> | Health & Safety Hazard Exposure Control - Lead | The activities involved in controlling the exposure of staff, students and others to lead in the institution's premises or in other places affected by its operations. | Activities include fulfilling the institution's duties under the Control of Lead at Work Regulations 2002 (SI 2002/2676) by: assessing the risks to health created by work involving lead (Regulation 5); providing (Regulation 6) and maintaining (Regulation 8) equipment to control exposure to lead; monitoring employees' exposure to lead (in air) (Regulation 9); conducting medical surveillance of individual employees who are exposed to lead (Regulation 10); providing information, instruction and training for employees who are exposed to lead (Regulation 11); developing plans and information to deal with accidents, incidents and emergencies related to the presence of lead, and responding to emergencies which occur (Regulation 12). | Records documenting the conduct, review and revision of assessments of the risks to health created by work involving lead, to fulfil the institution's duties under Regulation 5 of the Control of Lead at Work Regulations 2002 (SI 2002/2676). |  |  |  |  |

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| <b>HEALTH &amp; SAFETY MANAGEMENT</b> | Health & Safety Hazard Exposure Control - Lead | The activities involved in controlling the exposure of staff, students and others to lead in the institution's premises or in other places affected by its operations. | Activities include fulfilling the institution's duties under the Control of Lead at Work Regulations 2002 by: assessing the risks to health created by work involving lead (Regulation 5); providing (Regulation 6) and maintaining (Regulation 8) equipment to control exposure to lead; monitoring employees' exposure to lead (in air) (Regulation 9); conducting medical surveillance of individual employees who are exposed to lead (Regulation 10); providing information, instruction and training for employees who are exposed to lead (Regulation 11); developing plans and information to deal with accidents, incidents and emergencies related to the presence of lead, and responding to emergencies which occur (Regulation 12). | Records documenting the maintenance of equipment provided to control exposure to lead, to fulfil the institution's duties under Regulation 8 of the Control of Lead at Work Regulations 2002 (SI 2002/2676).                  |      |   |      |  |
| <b>HEALTH &amp; SAFETY MANAGEMENT</b> | Health & Safety Hazard Exposure Control - Lead | The activities involved in controlling the exposure of staff, students and others to lead in the institution's premises or in other places affected by its operations. | Activities include fulfilling the institution's duties under the Control of Lead at Work Regulations 2002 by: assessing the risks to health created by work involving lead (Regulation 5); providing (Regulation 6) and maintaining (Regulation 8) equipment to control exposure to lead; monitoring employees' exposure to lead (in air) (Regulation 9); conducting medical surveillance of individual employees who are exposed to lead (Regulation 10); providing information, instruction and training for employees who are exposed to lead (Regulation 11); developing plans and information to deal with accidents, incidents and emergencies related to the presence of lead, and responding to emergencies which occur (Regulation 12). | Records documenting the conduct and results of monitoring employees' general exposure to lead (in air), to fulfil the institution's duties under Regulation 9 of the Control of Lead at Work Regulations 2002 (SI 2002/2676). | Yes. | Article 6 S.1 (a), consent. Article 6 S.1 (b), necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract. Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject. | Yes. | Article 9, S.2 (a), explicit consent. Article 9, S.2 (b), necessary for the purposes of carrying out the obligations and exercising specific rights of the controller or of the data subject in the field of employment and social security and social protection law. Article 9, S.2 (h), necessary for the purposes of preventive or occupational medicine, for the assessment of the working capacity of the employee, medical diagnosis, the provision of health or social care or treatment or the management of health or social care systems and services on the basis of Union or Member State law or pursuant to contract with a health professional. |

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| <b>HEALTH &amp; SAFETY MANAGEMENT</b> | Health & Safety Hazard Exposure Control - Lead | The activities involved in controlling the exposure of staff, students and others to lead in the institution's premises or in other places affected by its operations. | Activities include fulfilling the institution's duties under the Control of Lead at Work Regulations 2002 by: assessing the risks to health created by work involving lead (Regulation 5); providing (Regulation 6) and maintaining (Regulation 8) equipment to control exposure to lead; monitoring employees' exposure to lead (in air) (Regulation 9); conducting medical surveillance of individual employees who are exposed to lead (Regulation 10); providing information, instruction and training for employees who are exposed to lead (Regulation 11); developing plans and information to deal with accidents, incidents and emergencies related to the presence of lead, and responding to emergencies which occur (Regulation 12). | Records documenting medical surveillance of individual employees who are exposed to lead, to fulfil the institution's duties under Regulation 10 of the Control of Lead at Work Regulations 2002 (SI 2002/2676).                         | Yes. | Article 6 S.1 (a), consent. Article 6 S.1 (b), necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract. Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject. | Yes.         | Article 9, S.2 (a), explicit consent. Article 9, S.2 (b), necessary for the purposes of carrying out the obligations and exercising specific rights of the controller or of the data subject in the field of employment and social security and social protection law. Article 9, S.2 (h), necessary for the purposes of preventive or occupational medicine, for the assessment of the working capacity of the employee, medical diagnosis, the provision of health or social care or treatment or the management of health or social care systems and services on the basis of Union or Member State law or pursuant to contract with a health professional. |
| <b>HEALTH &amp; SAFETY MANAGEMENT</b> | Health & Safety Hazard Exposure Control - Lead | The activities involved in controlling the exposure of staff, students and others to lead in the institution's premises or in other places affected by its operations. | Activities include fulfilling the institution's duties under the Control of Lead at Work Regulations 2002 by: assessing the risks to health created by work involving lead (Regulation 5); providing (Regulation 6) and maintaining (Regulation 8) equipment to control exposure to lead; monitoring employees' exposure to lead (in air) (Regulation 9); conducting medical surveillance of individual employees who are exposed to lead (Regulation 10); providing information, instruction and training for employees who are exposed to lead (Regulation 11); developing plans and information to deal with accidents, incidents and emergencies related to the presence of lead, and responding to emergencies which occur (Regulation 12). | Records documenting the provision of information, instruction and training for employees who are exposed to lead, to fulfil the institution's duties under Regulation 11 of the Control of Lead at Work Regulations 2002 (SI 2002/2676). | Yes. | Article 6 S.1 (a), consent. Article 6 S.1 (b), necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract. Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject. | Potentially. | Article 9, S.2 (a), explicit consent. Article 9, S.2 (b), necessary for the purposes of carrying out the obligations and exercising specific rights of the controller or of the data subject in the field of employment and social security and social protection law. Article 9, S.2 (h), necessary for the purposes of preventive or occupational medicine, for the assessment of the working capacity of the employee, medical diagnosis, the provision of health or social care or treatment or the management of health or social care systems and services on the basis of Union or Member State law or pursuant to contract with a health professional. |



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| HEALTH & SAFETY<br>MANAGEMENT | Health & Safety Hazard<br>Exposure Control - Lead | The activities involved in controlling the exposure of staff, students and others to lead in the institution's premises or in other places affected by its operations. | Activities include fulfilling the institution's duties under the Control of Lead at Work Regulations 2002 by: assessing the risks to health created by work involving lead (Regulation 5); providing (Regulation 6) and maintaining (Regulation 8) equipment to control exposure to lead; monitoring employees' exposure to lead (in air) (Regulation 9); conducting medical surveillance of individual employees who are exposed to lead (Regulation 10); providing information, instruction and training for employees who are exposed to lead (Regulation 11); developing plans and information to deal with accidents, incidents and emergencies related to the presence of lead, and responding to emergencies which occur (Regulation 12). | Records documenting the development of plans and information to deal with accidents, incidents and emergencies related to the presence of lead, to fulfil the institution's duties under Regulation 12 of the Control of Lead at Work Regulations 2002 (SI 2002/2676). |  |  |  |  |
| HEALTH & SAFETY<br>MANAGEMENT | Health & Safety Hazard<br>Exposure Control - Lead | The activities involved in controlling the exposure of staff, students and others to lead in the institution's premises or in other places affected by its operations. | Activities include fulfilling the institution's duties under the Control of Lead at Work Regulations 2002 by: assessing the risks to health created by work involving lead (Regulation 5); providing (Regulation 6) and maintaining (Regulation 8) equipment to control exposure to lead; monitoring employees' exposure to lead (in air) (Regulation 9); conducting medical surveillance of individual employees who are exposed to lead (Regulation 10); providing information, instruction and training for employees who are exposed to lead (Regulation 11); developing plans and information to deal with accidents, incidents and emergencies related to the presence of lead, and responding to emergencies which occur (Regulation 12). | Records documenting the institution's response to accidents, incidents and emergencies involving lead, to fulfil the institution's duties under Regulation 12 of the Control of Lead at Work Regulations 2002 (SI 2002/2676).  |  |  |  |  |



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| HEALTH & SAFETY<br>MANAGEMENT | Health & Safety Hazard<br>Exposure Control - Asbestos | The activities involved in controlling the exposure of staff, students and others to asbestos in the institution's premises or in other places affected by its operations. | Activities include fulfilling the institution's duties under the Control of Asbestos Regulations 2006 (SI 2006/2739) by: assessing the presence and condition of asbestos (Regulation 5); assessing the risks to health created by exposure to asbestos (Regulation 6); producing written plans of work for undertaking work with asbestos (Regulation 7); notifying enforcing authorities of proposed work with asbestos (Regulation 9); providing information, instruction and training for employees who are exposed to asbestos (Regulation 10); maintenance of equipment provided to control exposure to asbestos (Regulation 13); developing plans and information to deal with accidents, incidents and emergencies related to the presence of asbestos, and responding to emergencies which occur (Regulation 15); monitoring employees' general and individual exposure to asbestos (Regulation 19); conducting medical surveillance of employees exposed to asbestos (Regulation 22). | Records documenting assessments of the presence and condition of asbestos, as required by Regulation 5 of the Control of Asbestos Regulations 2006 (SI 2006/2739).  |  |  |  |  |
| HEALTH & SAFETY<br>MANAGEMENT | Health & Safety Hazard<br>Exposure Control - Asbestos | The activities involved in controlling the exposure of staff, students and others to asbestos in the institution's premises or in other places affected by its operations. | Activities include fulfilling the institution's duties under the Control of Asbestos Regulations 2006 (SI 2006/2739) by: assessing the presence and condition of asbestos (Regulation 5); assessing the risks to health created by exposure to asbestos (Regulation 6); producing written plans of work for undertaking work with asbestos (Regulation 7); notifying enforcing authorities of proposed work with asbestos (Regulation 9); providing information, instruction and training for employees who are exposed to asbestos (Regulation 10); maintenance of equipment provided to control exposure to asbestos  | Records documenting the conduct, review and revision of assessments of the risks to health created by exposure to asbestos, to fulfil the institution's duties under Regulation 6 of the Control of Asbestos Regulations 2006 (SI 2006/2739). |  |  |  |  |

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|                                       |  |  | (Regulation 13); developing plans and information to deal with accidents, incidents and emergencies related to the presence of asbestos, and responding to emergencies which occur (Regulation 15); monitoring employees' general and individual exposure to asbestos (Regulation 19); conducting medical surveillance of employees exposed to asbestos (Regulation 22).  |  |  |  |  |  |
| <b>HEALTH &amp; SAFETY MANAGEMENT</b> | Health & Safety Hazard Exposure Control - Asbestos | The activities involved in controlling the exposure of staff, students and others to asbestos in the institution's premises or in other places affected by its operations. | Activities include fulfilling the institution's duties under the Control of Asbestos Regulations 2006 (SI 2006/2739) by: assessing the presence and condition of asbestos (Regulation 5); assessing the risks to health created by exposure to asbestos (Regulation 6); producing written plans of work for undertaking work with asbestos (Regulation 7); notifying enforcing authorities of proposed work with asbestos (Regulation 9); providing information, instruction and training for employees who are exposed to asbestos (Regulation 10); maintenance of equipment provided to control exposure to asbestos (Regulation 13); developing plans and information to deal with accidents, incidents and emergencies related to the presence of asbestos, and responding to emergencies which occur (Regulation 15); monitoring employees' general and individual exposure to asbestos (Regulation 19); conducting medical surveillance of employees exposed to asbestos (Regulation 22). | Records documenting the preparation of written plans of work for undertaking work with asbestos, as required by Regulation 7 of the Control of Asbestos Regulations 2006 (SI 2006/2739). |  |  |  |  |

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| <b>HEALTH &amp; SAFETY MANAGEMENT</b> | Health & Safety Hazard Exposure Control - Asbestos | The activities involved in controlling the exposure of staff, students and others to asbestos in the institution's premises or in other places affected by its operations. | Activities include fulfilling the institution's duties under the Control of Asbestos Regulations 2006 (SI 2006/2739) by: assessing the presence and condition of asbestos (Regulation 5); assessing the risks to health created by exposure to asbestos (Regulation 6); producing written plans of work for undertaking work with asbestos (Regulation 7); notifying enforcing authorities of proposed work with asbestos (Regulation 9); providing information, instruction and training for employees who are exposed to asbestos (Regulation 10); maintenance of equipment provided to control exposure to asbestos (Regulation 13); developing plans and information to deal with accidents, incidents and emergencies related to the presence of asbestos, and responding to emergencies which occur (Regulation 15); monitoring employees' general and individual exposure to asbestos (Regulation 19); conducting medical surveillance of employees exposed to asbestos (Regulation 22). | Records documenting notifications to enforcing authorities of proposed work with asbestos, to fulfil the institution's duties under Regulation 9 of the Control of Asbestos Regulations 2006 (SI 2006/2739).                             |      |   |              |   |
| <b>HEALTH &amp; SAFETY MANAGEMENT</b> | Health & Safety Hazard Exposure Control - Asbestos | The activities involved in controlling the exposure of staff, students and others to asbestos in the institution's premises or in other places affected by its operations. | Activities include fulfilling the institution's duties under the Control of Asbestos Regulations 2006 (SI 2006/2739) by: assessing the presence and condition of asbestos (Regulation 5); assessing the risks to health created by exposure to asbestos (Regulation 6); producing written plans of work for undertaking work with asbestos (Regulation 7); notifying enforcing authorities of proposed work with asbestos (Regulation 9); providing information, instruction and training for employees who are exposed to asbestos (Regulation 10); maintenance of equipment provided to control exposure to asbestos  | Records documenting the provision of information, instruction and training for employees who are exposed to asbestos, to fulfil the institution's duties under Regulation 10 of the Control of Asbestos Regulations 2006 (SI 2006/2739). | Yes. | Article 6 S.1 (a), consent.Article 6 S.1 (b), necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract.Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject. | Potentially. | Article 9, S.2 (a), explicit consent.Article 9, S.2 (b), necessary for the purposes of carrying out the obligations and exercising specific rights of the data subject in the field of employment and social security and social protection law.Article 9, S.2 (h), necessary for the purposes of preventive or occupational medicine, for the assessment of the working capacity of the employee, medical diagnosis, the provision of health or social care or treatment or the management of health or social care systems and services on the basis of Union or Member State law |

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|                                       |  |  | (Regulation 13); developing plans and information to deal with accidents, incidents and emergencies related to the presence of asbestos, and responding to emergencies which occur (Regulation 15); monitoring employees' general and individual exposure to asbestos (Regulation 19); conducting medical surveillance of employees exposed to asbestos (Regulation 22).  |   |  |  |  | or pursuant to contract with a health professional. |
| <b>HEALTH &amp; SAFETY MANAGEMENT</b> | Health & Safety Hazard Exposure Control - Asbestos | The activities involved in controlling the exposure of staff, students and others to asbestos in the institution's premises or in other places affected by its operations. | Activities include fulfilling the institution's duties under the Control of Asbestos Regulations 2006 (SI 2006/2739) by: assessing the presence and condition of asbestos (Regulation 5); assessing the risks to health created by exposure to asbestos (Regulation 6); producing written plans of work for undertaking work with asbestos (Regulation 7); notifying enforcing authorities of proposed work with asbestos (Regulation 9); providing information, instruction and training for employees who are exposed to asbestos (Regulation 10); maintenance of equipment provided to control exposure to asbestos (Regulation 13); developing plans and information to deal with accidents, incidents and emergencies related to the presence of asbestos, and responding to emergencies which occur (Regulation 15); monitoring employees' general and individual exposure to asbestos (Regulation 19); conducting medical surveillance of employees exposed to asbestos (Regulation 22). | Records documenting the maintenance of equipment provided to control exposure to asbestos, to fulfil the institution's duties under Regulation 13 of the Control of Asbestos Regulations 2006 (SI 2006/2739). |  |  |  |   |

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| HEALTH & SAFETY<br>MANAGEMENT | Health & Safety Hazard<br>Exposure Control - Asbestos | The activities involved in controlling the exposure of staff, students and others to asbestos in the institution's premises or in other places affected by its operations. | Activities include fulfilling the institution's duties under the Control of Asbestos Regulations 2006 by: assessing the presence and condition of asbestos (Regulation 5); assessing the risks to health created by exposure to asbestos (Regulation 6); producing written plans of work for undertaking work with asbestos (Regulation 7); notifying enforcing authorities of proposed work with asbestos (Regulation 9); providing information, instruction and training for employees who are exposed to asbestos (Regulation 10); maintenance of equipment provided to control exposure to asbestos (Regulation 13); developing plans and information to deal with accidents, incidents and emergencies related to the presence of asbestos, and responding to emergencies which occur (Regulation 15); monitoring employees' general and individual exposure to asbestos (Regulation 19); conducting medical surveillance of employees exposed to asbestos (Regulation 22). | Records documenting the development of plans and information to deal with accidents, incidents and emergencies related to the presence of asbestos, to fulfil the institution's duties under Regulation 15 of the Control of Asbestos Regulations 2006 (SI 2006/2739). | Yes (eg personal contact details). | Article 6 S.1 (b), necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract. |  |  |
| HEALTH & SAFETY<br>MANAGEMENT | Health & Safety Hazard<br>Exposure Control - Asbestos | The activities involved in controlling the exposure of staff, students and others to asbestos in the institution's premises or in other places affected by its operations. | Activities include fulfilling the institution's duties under the Control of Asbestos Regulations 2006 (SI 2006/2739)by: assessing the presence and condition of asbestos (Regulation 5); assessing the risks to health created by exposure to asbestos (Regulation 6); producing written plans of work for undertaking work with asbestos (Regulation 7); notifying enforcing authorities of proposed work with asbestos (Regulation 9); providing information, instruction and training for employees who are exposed to asbestos (Regulation 10); maintenance of equipment provided to control exposure to asbestos  | Records documenting the institution's response to accidents, incidents and emergencies involving asbestos, to fulfil its duties under Regulation 15 of the Control of Asbestos Regulations 2006 (SI 2006/2739).  |                                    |   |  |  |

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|                                       |  |  | (Regulation 13); developing plans and information to deal with accidents, incidents and emergencies related to the presence of asbestos, and responding to emergencies which occur (Regulation 15); monitoring employees' general and individual exposure to asbestos (Regulation 19); conducting medical surveillance of employees exposed to asbestos (Regulation 22).   |  |      |   |      |  |
| <b>HEALTH &amp; SAFETY MANAGEMENT</b> | Health & Safety Hazard Exposure Control - Asbestos | The activities involved in controlling the exposure of staff, students and others to asbestos in the institution's premises or in other places affected by its operations. | Activities include fulfilling the institution's duties under the Control of Asbestos Regulations 2006 by: assessing the presence and condition of asbestos (Regulation 5); assessing the risks to health created by exposure to asbestos (Regulation 6); producing written plans of work for undertaking work with asbestos (Regulation 7); notifying enforcing authorities of proposed work with asbestos (Regulation 9); providing information, instruction and training for employees who are exposed to asbestos (Regulation 10); maintenance of equipment provided to control exposure to asbestos (Regulation 13); developing plans and information to deal with accidents, incidents and emergencies related to the presence of asbestos, and responding to emergencies which occur (Regulation 15); monitoring employees' general and individual exposure to asbestos (Regulation 19); conducting medical surveillance of employees exposed to asbestos (Regulation 22). | Records documenting the conduct and results of monitoring the personal exposures of individual employees (who are required to be under medical surveillance) to asbestos, to fulfil the institution's duties under Regulation 19 of the Control of Asbestos Regulations 2006 (SI 2006/2739). | Yes. | Article 6 S.1 (a), consent. Article 6 S.1 (b), necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract. Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject. | Yes. | Article 9, S.2 (a), explicit consent. Article 9, S.2 (b), necessary for the purposes of carrying out the obligations and exercising specific rights of the controller or of the data subject in the field of employment and social security and social protection law. Article 9, S.2 (h), necessary for the purposes of preventive or occupational medicine, for the assessment of the working capacity of the employee, medical diagnosis, the provision of health or social care or treatment or the management of health or social care systems and services on the basis of Union or Member State law or pursuant to contract with a health professional. |

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| <b>HEALTH &amp; SAFETY MANAGEMENT</b> | Health & Safety Hazard Exposure Control - Asbestos | The activities involved in controlling the exposure of staff, students and others to asbestos in the institution's premises or in other places affected by its operations. | Activities include fulfilling the institution's duties under the Control of Asbestos Regulations 2006 (SI 2006/2739) by: assessing the presence and condition of asbestos (Regulation 5); assessing the risks to health created by exposure to asbestos (Regulation 6); producing written plans of work for undertaking work with asbestos (Regulation 7); notifying enforcing authorities of proposed work with asbestos (Regulation 9); providing information, instruction and training for employees who are exposed to asbestos (Regulation 10); maintenance of equipment provided to control exposure to asbestos (Regulation 13); developing plans and information to deal with accidents, incidents and emergencies related to the presence of asbestos, and responding to emergencies which occur (Regulation 15); monitoring employees' general and individual exposure to asbestos (Regulation 19); conducting medical surveillance of employees exposed to asbestos (Regulation 22). | Records documenting the conduct and results of monitoring employees' general exposure to asbestos, to fulfil the institution's duties under Regulation 19 of the Control of Asbestos Regulations 2006 (SI 2006/2739). | Yes. | Article 6 S.1 (a), consent. Article 6 S.1 (b), necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract. Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject. | Yes. | Article 9, S.2 (a), explicit consent. Article 9, S.2 (b), necessary for the purposes of carrying out the obligations and exercising specific rights of the controller or of the data subject in the field of employment and social security and social protection law. Article 9, S.2 (h), necessary for the purposes of preventive or occupational medicine, for the assessment of the working capacity of the employee, medical diagnosis, the provision of health or social care or treatment or the management of health or social care systems and services on the basis of Union or Member State law or pursuant to contract with a health professional. |
| <b>HEALTH &amp; SAFETY MANAGEMENT</b> | Health & Safety Hazard Exposure Control - Asbestos | The activities involved in controlling the exposure of staff, students and others to asbestos in the institution's premises or in other places affected by its operations. | Activities include fulfilling the institution's duties under the Control of Asbestos Regulations 2006 (SI 2006/2739) by: assessing the presence and condition of asbestos (Regulation 5); assessing the risks to health created by exposure to asbestos (Regulation 6); producing written plans of work for undertaking work with asbestos (Regulation 7); notifying enforcing authorities of proposed work with asbestos (Regulation 9); providing information, instruction and training for employees who are exposed to asbestos (Regulation 10); maintenance of equipment provided to control exposure to asbestos  | Records documenting medical surveillance of individual employees who are exposed to asbestos, to fulfil the institution's duties under Regulation 22 of the Control of Asbestos Regulations 2006 (SI 2006/2739).      | Yes. | Article 6 S.1 (a), consent. Article 6 S.1 (b), necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract. Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject. | Yes. | Article 9, S.2 (a), explicit consent. Article 9, S.2 (b), necessary for the purposes of carrying out the obligations and exercising specific rights of the controller or of the data subject in the field of employment and social security and social protection law. Article 9, S.2 (h), necessary for the purposes of preventive or occupational medicine, for the assessment of the working capacity of the employee, medical diagnosis, the provision of health or social care or treatment or the management of health or social care systems and services on the basis of Union or Member State law   |



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|                                       |  |  | (Regulation 13); developing plans and information to deal with accidents, incidents and emergencies related to the presence of asbestos, and responding to emergencies which occur (Regulation 15); monitoring employees' general and individual exposure to asbestos (Regulation 19); conducting medical surveillance of employees exposed to asbestos (Regulation 22).  |   |      |   |      | or pursuant to contract with a health professional.  |
| <b>HEALTH &amp; SAFETY MANAGEMENT</b> | Health & Safety Hazard Exposure Control - Asbestos | The activities involved in controlling the exposure of staff, students and others to asbestos in the institution's premises or in other places affected by its operations. | Activities include fulfilling the institution's duties under the Control of Asbestos Regulations 2006 (SI 2006/2739) by: assessing the presence and condition of asbestos (Regulation 5); assessing the risks to health created by exposure to asbestos (Regulation 6); producing written plans of work for undertaking work with asbestos (Regulation 7); notifying enforcing authorities of proposed work with asbestos (Regulation 9); providing information, instruction and training for employees who are exposed to asbestos (Regulation 10); maintenance of equipment provided to control exposure to asbestos (Regulation 13); developing plans and information to deal with accidents, incidents and emergencies related to the presence of asbestos, and responding to emergencies which occur (Regulation 15); monitoring employees' general and individual exposure to asbestos (Regulation 19); conducting medical surveillance of employees exposed to asbestos (Regulation 22). | Employer's copies of certificates of medical examinations of identifiable employees who are exposed to asbestos, as required by Regulation 22 of the Control of Asbestos Regulations 2006 (SI 2006/2739). | Yes. | Article 6 S.1 (a), consent. Article 6 S.1 (b), necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract. Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject. | Yes. | Article 9, S.2 (a), explicit consent. Article 9, S.2 (b), necessary for the purposes of carrying out the obligations and exercising specific rights of the controller or of the data subject in the field of employment and social security and social protection law. Article 9, S.2 (h), necessary for the purposes of preventive or occupational medicine, for the assessment of the working capacity of the employee, medical diagnosis, the provision of health or social care or treatment or the management of health or social care systems and services on the basis of Union or Member State law or pursuant to contract with a health professional. |



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| <p><b>HEALTH &amp; SAFETY MANAGEMENT</b></p> | <p>Health &amp; Safety Hazard<br/>Exposure Control - Ionising Radiation</p> | <p>The activities involved in controlling the exposure of staff, students and others to ionising radiation in the institution's premises or in other places affected by its operations.</p> | <p>Activities include fulfilling the institution's duties under the Ionising Radiations Regulations 1999 (SI 1999/3232) by: assessing the risks to health created by work with ionising radiation (Regulation 7); providing (Regulation 8) and maintaining (Regulation 10) equipment to control exposure to ionising radiation; developing contingency plans to deal with radiation accidents (Regulation 12); providing information, instruction and training for employees who are exposed to ionising radiation (Regulation 14); maintaining equipment for monitoring levels of ionising radiation (Regulation 19); monitoring of levels of ionising radiation in designated controlled areas (Regulation 19); assessing doses of ionising radiation received by 'classified persons' which are likely to be significant (Regulation 21); investigating the exposure of 'classified persons' to ionising radiation (Regulation 22); assessments of individual doses of ionising radiation received as a result of a radiation accident (Regulation 23); conducting medical surveillance of individual employees who are exposed to ionising radiation and are required to be under medical surveillance (Regulation 24); investigating (possible) overexposure to ionising radiation (Regulation 25); testing to detect leakage from articles containing or embodying radioactive substances (Regulation 27); keeping records of the quantity and location of radioactive substances (Regulation 28); conducting investigations into (possible) accidental release or theft of radioactive substances (Regulation 30).</p> | <p>Records documenting the conduct, review and revision of assessments of the risks to health created by work with ionising radiation, to fulfil the institution's duties under Regulation 7 of the Ionising Radiations Regulations 1999 (SI 1999/3232).</p> |  |  |  |  |
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| HEALTH & SAFETY<br>MANAGEMENT | Health & Safety Hazard<br>Exposure Control - Ionising<br>Radiation | The activities involved in<br>controlling the exposure of<br>staff, students and others to<br>ionising radiation in the<br>institution's premises or in<br>other places affected by its<br>operations. | Activities include fulfilling<br>the institution's duties<br>under the Ionising<br>Radiations Regulations 1999<br>(SI 1999/3232) by: assessing<br>the risks to health created<br>by work with ionising<br>radiation (Regulation 7);<br>providing (Regulation 8) and<br>maintaining (Regulation 10)<br>equipment to control<br>exposure to ionising<br>radiation; developing<br>contingency plans to deal<br>with radiation accidents<br>(Regulation 12); providing<br>information, instruction and<br>training for employees who<br>are exposed to ionising<br>radiation (Regulation 14);<br>maintaining equipment for<br>monitoring levels of ionising<br>radiation (Regulation 19);<br>monitoring of levels of<br>ionising radiation in<br>designated controlled areas<br>(Regulation 19); assessing<br>doses of ionising radiation<br>received by 'classified<br>persons' which are likely to<br>be significant (Regulation<br>21); investigating the<br>exposure of 'classified<br>persons' to ionising<br>radiation (Regulation 22);<br>assessments of individual<br>doses of ionising radiation<br>received as a result of a<br>radiation accident<br>(Regulation 23); conducting<br>medical surveillance of<br>individual employees who<br>are exposed to ionising<br>radiation and are required<br>to be under medical<br>surveillance (Regulation 24);<br>investigating (possible)<br>overexposure to ionising<br>radiation (Regulation 25);<br>testing to detect leakage<br>from articles containing or<br>embodying radioactive<br>substances (Regulation 27);<br>keeping records of the<br>quantity and location of<br>radioactive substances<br>(Regulation 28); conducting<br>investigations into (possible)<br>accidental release or theft of<br>radioactive substances<br>(Regulation 30). | Records documenting the<br>maintenance of personal<br>protective equipment<br>provided to control<br>exposure to ionising<br>radiation, to fulfil the<br>institution's duties under<br>Regulation 10 of the Ionising<br>Radiations Regulations 1999<br>(SI 1999/3232). |  |  |  |  |
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| <p><b>HEALTH &amp; SAFETY MANAGEMENT</b></p> | <p>Health &amp; Safety Hazard<br/>Exposure Control - Ionising Radiation</p> | <p>The activities involved in controlling the exposure of staff, students and others to ionising radiation in the institution's premises or in other places affected by its operations.</p> | <p>Activities include fulfilling the institution's duties under the Ionising Radiations Regulations 1999 (SI 1999/3232) by: assessing the risks to health created by work with ionising radiation (Regulation 7); providing (Regulation 8) and maintaining (Regulation 10) equipment to control exposure to ionising radiation; developing contingency plans to deal with radiation accidents (Regulation 12); providing information, instruction and training for employees who are exposed to ionising radiation (Regulation 14); maintaining equipment for monitoring levels of ionising radiation (Regulation 19); monitoring of levels of ionising radiation in designated controlled areas (Regulation 19); assessing doses of ionising radiation received by 'classified persons' which are likely to be significant (Regulation 21); investigating the exposure of 'classified persons' to ionising radiation (Regulation 22); assessments of individual doses of ionising radiation received as a result of a radiation accident (Regulation 23); conducting medical surveillance of individual employees who are exposed to ionising radiation and are required to be under medical surveillance (Regulation 24); investigating (possible) overexposure to ionising radiation (Regulation 25); testing to detect leakage from articles containing or embodying radioactive substances (Regulation 27); keeping records of the quantity and location of radioactive substances (Regulation 28); conducting investigations into (possible) accidental release or theft of radioactive substances (Regulation 30).</p> | <p>Records documenting the maintenance of other equipment provided to control exposure to ionising radiation, to fulfil the institution's duties under Regulation 10 of the Ionising Radiations Regulations 1999 (SI 1999/3232).</p> |  |  |  |  |
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| HEALTH & SAFETY<br>MANAGEMENT | Health & Safety Hazard<br>Exposure Control - Ionising<br>Radiation | The activities involved in<br>controlling the exposure of<br>staff, students and others to<br>ionising radiation in the<br>institution's premises or in<br>other places affected by its<br>operations. | Activities include fulfilling<br>the institution's duties<br>under the Ionising<br>Radiations Regulations 1999<br>(SI 1999/3232) by: assessing<br>the risks to health created<br>by work with ionising<br>radiation (Regulation 7);<br>providing (Regulation 8) and<br>maintaining (Regulation 10)<br>equipment to control<br>exposure to ionising<br>radiation; developing<br>contingency plans to deal<br>with radiation accidents<br>(Regulation 12); providing<br>information, instruction and<br>training for employees who<br>are exposed to ionising<br>radiation (Regulation 14);<br>maintaining equipment for<br>monitoring levels of ionising<br>radiation (Regulation 19);<br>monitoring of levels of<br>ionising radiation in<br>designated controlled areas<br>(Regulation 19); assessing<br>doses of ionising radiation<br>received by 'classified<br>persons' which are likely to<br>be significant (Regulation<br>21); investigating the<br>exposure of 'classified<br>persons' to ionising<br>radiation (Regulation 22);<br>assessments of individual<br>doses of ionising radiation<br>received as a result of a<br>radiation accident<br>(Regulation 23); conducting<br>medical surveillance of<br>individual employees who<br>are exposed to ionising<br>radiation and are required<br>to be under medical<br>surveillance (Regulation 24);<br>investigating (possible)<br>overexposure to ionising<br>radiation (Regulation 25);<br>testing to detect leakage<br>from articles containing or<br>embodying radioactive<br>substances (Regulation 27);<br>keeping records of the<br>quantity and location of<br>radioactive substances<br>(Regulation 28); conducting<br>investigations into (possible)<br>accidental release or theft of<br>radioactive substances<br>(Regulation 30). | Records documenting the<br>preparation of contingency<br>plans to deal with radiation<br>accidents, to fulfil the<br>institution's duties under<br>Regulation 12 of the Ionising<br>Radiations Regulations 1999<br>(SI 1999/3232). | Yes (eg personal contact<br>details). | Article 6 S.1 (b), necessary<br>for the performance of a<br>contract to which the data<br>subject is party or in order<br>to take steps at the request<br>of the data subject prior to<br>entering into a contract. |  |  |
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| <b>HEALTH &amp; SAFETY MANAGEMENT</b> | Health & Safety Hazard Exposure Control - Ionising Radiation | The activities involved in controlling the exposure of staff, students and others to ionising radiation in the institution's premises or in other places affected by its operations. | Activities include fulfilling the institution's duties under the Ionising Radiations Regulations 1999 (SI 1999/3232) by: assessing the risks to health created by work with ionising radiation (Regulation 7); providing (Regulation 8) and maintaining (Regulation 10) equipment to control exposure to ionising radiation; developing contingency plans to deal with radiation accidents (Regulation 12); providing information, instruction and training for employees who are exposed to ionising radiation (Regulation 14); maintaining equipment for monitoring levels of ionising radiation (Regulation 19); monitoring of levels of ionising radiation in designated controlled areas (Regulation 19); assessing doses of ionising radiation received by 'classified persons' which are likely to be significant (Regulation 21); investigating the exposure of 'classified persons' to ionising radiation (Regulation 22); assessments of individual doses of ionising radiation received as a result of a radiation accident (Regulation 23); conducting medical surveillance of individual employees who are exposed to ionising radiation and are required to be under medical surveillance (Regulation 24); investigating (possible) overexposure to ionising radiation (Regulation 25); testing to detect leakage from articles containing or embodying radioactive substances (Regulation 27); keeping records of the quantity and location of radioactive substances (Regulation 28); conducting investigations into (possible) accidental release or theft of radioactive substances (Regulation 30). | Records documenting the provision of information, instruction and training for employees who are exposed to ionising radiation, to fulfil the institution's duties under Regulation 14 of the Ionising Radiations Regulations 1999 (SI 1999/3232). | Yes. | Article 6 S.1 (a), consent. Article 6 S.1 (b), necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract. Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject. | Potentially. | Article 9, S.2 (a), explicit consent. Article 9, S.2 (b), necessary for the purposes of carrying out the obligations and exercising specific rights of the controller or of the data subject in the field of employment and social security and social protection law. Article 9, S.2 (h), necessary for the purposes of preventive or occupational medicine, for the assessment of the working capacity of the employee, medical diagnosis, the provision of health or social care or treatment or the management of health or social care systems and services on the basis of Union or Member State law or pursuant to contract with a health professional. |
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| HEALTH & SAFETY<br>MANAGEMENT | Health & Safety Hazard<br>Exposure Control - Ionising<br>Radiation | The activities involved in<br>controlling the exposure of<br>staff, students and others to<br>ionising radiation in the<br>institution's premises or in<br>other places affected by its<br>operations. | Activities include fulfilling<br>the institution's duties<br>under the Ionising<br>Radiations Regulations 1999<br>(SI 1999/3232) by: assessing<br>the risks to health created<br>by work with ionising<br>radiation (Regulation 7);<br>providing (Regulation 8) and<br>maintaining (Regulation 10)<br>equipment to control<br>exposure to ionising<br>radiation; developing<br>contingency plans to deal<br>with radiation accidents<br>(Regulation 12); providing<br>information, instruction and<br>training for employees who<br>are exposed to ionising<br>radiation (Regulation 14);<br>maintaining equipment for<br>monitoring levels of ionising<br>radiation (Regulation 19);<br>monitoring of levels of<br>ionising radiation in<br>designated controlled areas<br>(Regulation 19); assessing<br>doses of ionising radiation<br>received by 'classified<br>persons' which are likely to<br>be significant (Regulation<br>21); investigating the<br>exposure of 'classified<br>persons' to ionising<br>radiation (Regulation 22);<br>assessments of individual<br>doses of ionising radiation<br>received as a result of a<br>radiation accident<br>(Regulation 23); conducting<br>medical surveillance of<br>individual employees who<br>are exposed to ionising<br>radiation and are required<br>to be under medical<br>surveillance (Regulation 24);<br>investigating (possible)<br>overexposure to ionising<br>radiation (Regulation 25);<br>testing to detect leakage<br>from articles containing or<br>embodying radioactive<br>substances (Regulation 27);<br>keeping records of the<br>quantity and location of<br>radioactive substances<br>(Regulation 28); conducting<br>investigations into (possible)<br>accidental release or theft of<br>radioactive substances<br>(Regulation 30). | Records documenting the<br>maintenance and testing of<br>equipment for monitoring<br>levels of ionising radiation,<br>to fulfil the institution's<br>duties under Regulation 19<br>of the Ionising Radiations<br>Regulations 1999 (SI<br>1999/3232). |  |  |  |  |
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| HEALTH & SAFETY<br>MANAGEMENT | Health & Safety Hazard<br>Exposure Control - Ionising<br>Radiation | The activities involved in<br>controlling the exposure of<br>staff, students and others to<br>ionising radiation in the<br>institution's premises or in<br>other places affected by its<br>operations. | Activities include fulfilling<br>the institution's duties<br>under the Ionising<br>Radiations Regulations 1999<br>(SI 1999/3232) by: assessing<br>the risks to health created<br>by work with ionising<br>radiation (Regulation 7);<br>providing (Regulation 8) and<br>maintaining (Regulation 10)<br>equipment to control<br>exposure to ionising<br>radiation; developing<br>contingency plans to deal<br>with radiation accidents<br>(Regulation 12); providing<br>information, instruction and<br>training for employees who<br>are exposed to ionising<br>radiation (Regulation 14);<br>maintaining equipment for<br>monitoring levels of ionising<br>radiation (Regulation 19);<br>monitoring of levels of<br>ionising radiation in<br>designated controlled areas<br>(Regulation 19); assessing<br>doses of ionising radiation<br>received by 'classified<br>persons' which are likely to<br>be significant (Regulation<br>21); investigating the<br>exposure of 'classified<br>persons' to ionising<br>radiation (Regulation 22);<br>assessments of individual<br>doses of ionising radiation<br>received as a result of a<br>radiation accident<br>(Regulation 23); conducting<br>medical surveillance of<br>individual employees who<br>are exposed to ionising<br>radiation and are required<br>to be under medical<br>surveillance (Regulation 24);<br>investigating (possible)<br>overexposure to ionising<br>radiation (Regulation 25);<br>testing to detect leakage<br>from articles containing or<br>embodying radioactive<br>substances (Regulation 27);<br>keeping records of the<br>quantity and location of<br>radioactive substances<br>(Regulation 28); conducting<br>investigations into (possible)<br>accidental release or theft of<br>radioactive substances<br>(Regulation 30). | Records documenting the<br>monitoring of levels of<br>ionising radiation in<br>designated controlled areas,<br>to fulfil the institution's<br>duties under Regulation 19<br>of the Ionising Radiations<br>Regulations 1999 (SI<br>1999/3232). |  |  |  |  |
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| <b>HEALTH &amp; SAFETY MANAGEMENT</b> | Health & Safety Hazard Exposure Control - Ionising Radiation | The activities involved in controlling the exposure of staff, students and others to ionising radiation in the institution's premises or in other places affected by its operations. | Activities include fulfilling the institution's duties under the Ionising Radiations Regulations 1999 (SI 1999/3232) by: assessing the risks to health created by work with ionising radiation (Regulation 7); providing (Regulation 8) and maintaining (Regulation 10) equipment to control exposure to ionising radiation; developing contingency plans to deal with radiation accidents (Regulation 12); providing information, instruction and training for employees who are exposed to ionising radiation (Regulation 14); maintaining equipment for monitoring levels of ionising radiation (Regulation 19); monitoring of levels of ionising radiation in designated controlled areas (Regulation 19); assessing doses of ionising radiation received by 'classified persons' which are likely to be significant (Regulation 21); investigating the exposure of 'classified persons' to ionising radiation (Regulation 22); assessments of individual doses of ionising radiation received as a result of a radiation accident (Regulation 23); conducting medical surveillance of individual employees who are exposed to ionising radiation and are required to be under medical surveillance (Regulation 24); investigating (possible) overexposure to ionising radiation (Regulation 25); testing to detect leakage from articles containing or embodying radioactive substances (Regulation 27); keeping records of the quantity and location of radioactive substances (Regulation 28); conducting investigations into (possible) accidental release or theft of radioactive substances (Regulation 30). | Records documenting assessments of doses of ionising radiation received by 'classified persons' which are likely to be significant, to fulfil the institution's duties under Regulation 21 of the Ionising Radiations Regulations 1999 (SI 1999/3232). | Yes. | Article 6 S.1 (a), consent.Article 6 S.1 (b), necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract.Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject. | Yes. | Article 9, S.2 (a), explicit consent.Article 9, S.2 (b), necessary for the purposes of carrying out the obligations and exercising specific rights of the controller or of the data subject in the field of employment and social security and social protection law.Article 9, S.2 (h), necessary for the purposes of preventive or occupational medicine, for the assessment of the working capacity of the employee, medical diagnosis, the provision of health or social care or treatment or the management of health or social care systems and services on the basis of Union or Member State law or pursuant to contract with a health professional. |
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| <b>HEALTH &amp; SAFETY MANAGEMENT</b> | Health & Safety Hazard<br>Exposure Control - Ionising Radiation | The activities involved in controlling the exposure of staff, students and others to ionising radiation in the institution's premises or in other places affected by its operations. | Activities include fulfilling the institution's duties under the Ionising Radiations Regulations 1999 (SI 1999/3232) by: assessing the risks to health created by work with ionising radiation (Regulation 7); providing (Regulation 8) and maintaining (Regulation 10) equipment to control exposure to ionising radiation; developing contingency plans to deal with radiation accidents (Regulation 12); providing information, instruction and training for employees who are exposed to ionising radiation (Regulation 14); maintaining equipment for monitoring levels of ionising radiation (Regulation 19); monitoring of levels of ionising radiation in designated controlled areas (Regulation 19); assessing doses of ionising radiation received by 'classified persons' which are likely to be significant (Regulation 21); investigating the exposure of 'classified persons' to ionising radiation (Regulation 22); assessments of individual doses of ionising radiation received as a result of a radiation accident (Regulation 23); conducting medical surveillance of individual employees who are exposed to ionising radiation and are required to be under medical surveillance (Regulation 24); investigating (possible) overexposure to ionising radiation (Regulation 25); testing to detect leakage from articles containing or embodying radioactive substances (Regulation 27); keeping records of the quantity and location of radioactive substances (Regulation 28); conducting investigations into (possible) accidental release or theft of radioactive substances (Regulation 30). | Records documenting investigations into the exposure of 'classified persons' to ionising radiation, to fulfil the institution's duties under Regulation 22 of the Ionising Radiations Regulations 1999 (SI 1999/3232). | Yes. | Article 6 S.1 (a), consent.Article 6 S.1 (b), necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract.Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject. | Yes. | Article 9, S.2 (a), explicit consent.Article 9, S.2 (b), necessary for the purposes of carrying out the obligations and exercising specific rights of the controller or of the data subject in the field of employment and social security and social protection law.Article 9, S.2 (h), necessary for the purposes of preventive or occupational medicine, for the assessment of the working capacity of the employee, medical diagnosis, the provision of health or social care or treatment or the management of health or social care systems and services on the basis of Union or Member State law or pursuant to contract with a health professional. |
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| <b>HEALTH &amp; SAFETY MANAGEMENT</b> | Health & Safety Hazard Exposure Control - Ionising Radiation | The activities involved in controlling the exposure of staff, students and others to ionising radiation in the institution's premises or in other places affected by its operations. | Activities include fulfilling the institution's duties under the Ionising Radiations Regulations 1999 (SI 1999/3232) by: assessing the risks to health created by work with ionising radiation (Regulation 7); providing (Regulation 8) and maintaining (Regulation 10) equipment to control exposure to ionising radiation; developing contingency plans to deal with radiation accidents (Regulation 12); providing information, instruction and training for employees who are exposed to ionising radiation (Regulation 14); maintaining equipment for monitoring levels of ionising radiation (Regulation 19); monitoring of levels of ionising radiation in designated controlled areas (Regulation 19); assessing doses of ionising radiation received by 'classified persons' which are likely to be significant (Regulation 21); investigating the exposure of 'classified persons' to ionising radiation (Regulation 22); assessments of individual doses of ionising radiation received as a result of a radiation accident (Regulation 23); conducting medical surveillance of individual employees who are exposed to ionising radiation and are required to be under medical surveillance (Regulation 24); investigating (possible) overexposure to ionising radiation (Regulation 25); testing to detect leakage from articles containing or embodying radioactive substances (Regulation 27); keeping records of the quantity and location of radioactive substances (Regulation 28); conducting investigations into (possible) accidental release or theft of radioactive substances (Regulation 30). | Records documenting assessments of individual doses of ionising radiation received as a result of a radiation accident, to fulfil the institution's duties under Regulation 23 of the Ionising Radiations Regulations 1999 (SI 1999/3232). | Yes. | Article 6 S.1 (a), consent. Article 6 S.1 (b), necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract. Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject. | Yes. | Article 9, S.2 (a), explicit consent. Article 9, S.2 (b), necessary for the purposes of carrying out the obligations and exercising specific rights of the controller or of the data subject in the field of employment and social security and social protection law. Article 9, S.2 (h), necessary for the purposes of preventive or occupational medicine, for the assessment of the working capacity of the employee, medical diagnosis, the provision of health or social care or treatment or the management of health or social care systems and services on the basis of Union or Member State law or pursuant to contract with a health professional. |
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| <b>HEALTH &amp; SAFETY MANAGEMENT</b> | Health & Safety Hazard<br>Exposure Control - Ionising Radiation | The activities involved in controlling the exposure of staff, students and others to ionising radiation in the institution's premises or in other places affected by its operations. | Activities include fulfilling the institution's duties under the Ionising Radiations Regulations 1999 (SI 1999/3232) by: assessing the risks to health created by work with ionising radiation (Regulation 7); providing (Regulation 8) and maintaining (Regulation 10) equipment to control exposure to ionising radiation; developing contingency plans to deal with radiation accidents (Regulation 12); providing information, instruction and training for employees who are exposed to ionising radiation (Regulation 14); maintaining equipment for monitoring levels of ionising radiation (Regulation 19); monitoring of levels of ionising radiation in designated controlled areas (Regulation 19); assessing doses of ionising radiation received by 'classified persons' which are likely to be significant (Regulation 21); investigating the exposure of 'classified persons' to ionising radiation (Regulation 22); assessments of individual doses of ionising radiation received as a result of a radiation accident (Regulation 23); conducting medical surveillance of individual employees who are exposed to ionising radiation and are required to be under medical surveillance (Regulation 24); investigating (possible) overexposure to ionising radiation (Regulation 25); testing to detect leakage from articles containing or embodying radioactive substances (Regulation 27); keeping records of the quantity and location of radioactive substances (Regulation 28); conducting investigations into (possible) accidental release or theft of radioactive substances (Regulation 30). | Records documenting medical surveillance of individual employees who are exposed to ionising radiation and are required to be under medical surveillance, to fulfil the institution's duties under Regulation 24 of the Ionising Radiations Regulations 1999 (SI 1999/3232). | Yes. | Article 6 S.1 (a), consent.Article 6 S.1 (b), necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract.Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject. | Yes. | Article 9, S.2 (a), explicit consent.Article 9, S.2 (b), necessary for the purposes of carrying out the obligations and exercising specific rights of the controller or of the data subject in the field of employment and social security and social protection law.Article 9, S.2 (h), necessary for the purposes of preventive or occupational medicine, for the assessment of the working capacity of the employee, medical diagnosis, the provision of health or social care or treatment or the management of health or social care systems and services on the basis of Union or Member State law or pursuant to contract with a health professional. |
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| HEALTH & SAFETY<br>MANAGEMENT | Health & Safety Hazard<br>Exposure Control - Ionising<br>Radiation | The activities involved in<br>controlling the exposure of<br>staff, students and others to<br>ionising radiation in the<br>institution's premises or in<br>other places affected by its<br>operations. | Activities include fulfilling<br>the institution's duties<br>under the Ionising<br>Radiations Regulations 1999<br>(SI 1999/3232) by: assessing<br>the risks to health created<br>by work with ionising<br>radiation (Regulation 7);<br>providing (Regulation 8) and<br>maintaining (Regulation 10)<br>equipment to control<br>exposure to ionising<br>radiation; developing<br>contingency plans to deal<br>with radiation accidents<br>(Regulation 12); providing<br>information, instruction and<br>training for employees who<br>are exposed to ionising<br>radiation (Regulation 14);<br>maintaining equipment for<br>monitoring levels of ionising<br>radiation (Regulation 19);<br>monitoring of levels of<br>ionising radiation in<br>designated controlled areas<br>(Regulation 19); assessing<br>doses of ionising radiation<br>received by 'classified<br>persons' which are likely to<br>be significant (Regulation<br>21); investigating the<br>exposure of 'classified<br>persons' to ionising<br>radiation (Regulation 22);<br>assessments of individual<br>doses of ionising radiation<br>received as a result of a<br>radiation accident<br>(Regulation 23); conducting<br>medical surveillance of<br>individual employees who<br>are exposed to ionising<br>radiation and are required<br>to be under medical<br>surveillance (Regulation 24);<br>investigating (possible)<br>overexposure to ionising<br>radiation (Regulation 25);<br>testing to detect leakage<br>from articles containing or<br>embodying radioactive<br>substances (Regulation 27);<br>keeping records of the<br>quantity and location of<br>radioactive substances<br>(Regulation 28); conducting<br>investigations into (possible)<br>accidental release or theft of<br>radioactive substances<br>(Regulation 30). | Reports of immediate<br>investigations into possible<br>overexposure to ionising<br>radiation, to fulfil the<br>institution's duties under<br>Regulation 25 of the Ionising<br>Radiations Regulations 1999<br>(SI 1999/3232). |  |  |  |  |
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| HEALTH & SAFETY<br>MANAGEMENT | Health & Safety Hazard<br>Exposure Control - Ionising<br>Radiation | The activities involved in<br>controlling the exposure of<br>staff, students and others to<br>ionising radiation in the<br>institution's premises or in<br>other places affected by its<br>operations. | Activities include fulfilling<br>the institution's duties<br>under the Ionising<br>Radiations Regulations 1999<br>(SI 1999/3232) by: assessing<br>the risks to health created<br>by work with ionising<br>radiation (Regulation 7);<br>providing (Regulation 8) and<br>maintaining (Regulation 10)<br>equipment to control<br>exposure to ionising<br>radiation; developing<br>contingency plans to deal<br>with radiation accidents<br>(Regulation 12); providing<br>information, instruction and<br>training for employees who<br>are exposed to ionising<br>radiation (Regulation 14);<br>maintaining equipment for<br>monitoring levels of ionising<br>radiation (Regulation 19);<br>monitoring of levels of<br>ionising radiation in<br>designated controlled areas<br>(Regulation 19); assessing<br>doses of ionising radiation<br>received by 'classified<br>persons' which are likely to<br>be significant (Regulation<br>21); investigating the<br>exposure of 'classified<br>persons' to ionising<br>radiation (Regulation 22);<br>assessments of individual<br>doses of ionising radiation<br>received as a result of a<br>radiation accident<br>(Regulation 23); conducting<br>medical surveillance of<br>individual employees who<br>are exposed to ionising<br>radiation and are required<br>to be under medical<br>surveillance (Regulation 24);<br>investigating (possible)<br>overexposure to ionising<br>radiation (Regulation 25);<br>testing to detect leakage<br>from articles containing or<br>embodying radioactive<br>substances (Regulation 27);<br>keeping records of the<br>quantity and location of<br>radioactive substances<br>(Regulation 28); conducting<br>investigations into (possible)<br>accidental release or theft of<br>radioactive substances<br>(Regulation 30). | Reports of investigations<br>into occurrences of<br>overexposure to ionising<br>radiation, to fulfil the<br>institution's duties under<br>Regulation 25 of the Ionising<br>Radiations Regulations 1999<br>(SI 1999/3232). |  |  |  |  |
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| HEALTH & SAFETY<br>MANAGEMENT | Health & Safety Hazard<br>Exposure Control - Ionising<br>Radiation | The activities involved in<br>controlling the exposure of<br>staff, students and others to<br>ionising radiation in the<br>institution's premises or in<br>other places affected by its<br>operations. | Activities include fulfilling<br>the institution's duties<br>under the Ionising<br>Radiations Regulations 1999<br>(SI 1999/3232) by: assessing<br>the risks to health created<br>by work with ionising<br>radiation (Regulation 7);<br>providing (Regulation 8) and<br>maintaining (Regulation 10)<br>equipment to control<br>exposure to ionising<br>radiation; developing<br>contingency plans to deal<br>with radiation accidents<br>(Regulation 12); providing<br>information, instruction and<br>training for employees who<br>are exposed to ionising<br>radiation (Regulation 14);<br>maintaining equipment for<br>monitoring levels of ionising<br>radiation (Regulation 19);<br>monitoring of levels of<br>ionising radiation in<br>designated controlled areas<br>(Regulation 19); assessing<br>doses of ionising radiation<br>received by 'classified<br>persons' which are likely to<br>be significant (Regulation<br>21); investigating the<br>exposure of 'classified<br>persons' to ionising<br>radiation (Regulation 22);<br>assessments of individual<br>doses of ionising radiation<br>received as a result of a<br>radiation accident<br>(Regulation 23); conducting<br>medical surveillance of<br>individual employees who<br>are exposed to ionising<br>radiation and are required<br>to be under medical<br>surveillance (Regulation 24);<br>investigating (possible)<br>overexposure to ionising<br>radiation (Regulation 25);<br>testing to detect leakage<br>from articles containing or<br>embodying radioactive<br>substances (Regulation 27);<br>keeping records of the<br>quantity and location of<br>radioactive substances<br>(Regulation 28); conducting<br>investigations into (possible)<br>accidental release or theft of<br>radioactive substances<br>(Regulation 30). | Records documenting tests<br>to detect leakage from<br>articles containing or<br>embodying radioactive<br>substances, to fulfil the<br>institution's duties under<br>Regulation 27 of the Ionising<br>Radiations Regulations 1999<br>(SI 1999/3232). |  |  |  |  |
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| HEALTH & SAFETY<br>MANAGEMENT | Health & Safety Hazard<br>Exposure Control - Ionising<br>Radiation | The activities involved in<br>controlling the exposure of<br>staff, students and others to<br>ionising radiation in the<br>institution's premises or in<br>other places affected by its<br>operations. | Activities include fulfilling<br>the institution's duties<br>under the Ionising<br>Radiations Regulations 1999<br>(SI 1999/3232) by: assessing<br>the risks to health created<br>by work with ionising<br>radiation (Regulation 7);<br>providing (Regulation 8) and<br>maintaining (Regulation 10)<br>equipment to control<br>exposure to ionising<br>radiation; developing<br>contingency plans to deal<br>with radiation accidents<br>(Regulation 12); providing<br>information, instruction and<br>training for employees who<br>are exposed to ionising<br>radiation (Regulation 14);<br>maintaining equipment for<br>monitoring levels of ionising<br>radiation (Regulation 19);<br>monitoring of levels of<br>ionising radiation in<br>designated controlled areas<br>(Regulation 19); assessing<br>doses of ionising radiation<br>received by 'classified<br>persons' which are likely to<br>be significant (Regulation<br>21); investigating the<br>exposure of 'classified<br>persons' to ionising<br>radiation (Regulation 22);<br>assessments of individual<br>doses of ionising radiation<br>received as a result of a<br>radiation accident<br>(Regulation 23); conducting<br>medical surveillance of<br>individual employees who<br>are exposed to ionising<br>radiation and are required<br>to be under medical<br>surveillance (Regulation 24);<br>investigating (possible)<br>overexposure to ionising<br>radiation (Regulation 25);<br>testing to detect leakage<br>from articles containing or<br>embodying radioactive<br>substances (Regulation 27);<br>keeping records of the<br>quantity and location of<br>radioactive substances<br>(Regulation 28); conducting<br>investigations into (possible)<br>accidental release or theft of<br>radioactive substances<br>(Regulation 30). | Records of the quantity and<br>location of radioactive<br>substances, to fulfil the<br>institution's duties under<br>Regulation 28 of the Ionising<br>Radiations Regulations 1999<br>(SI 1999/3232). |  |  |  |  |
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| HEALTH & SAFETY<br>MANAGEMENT | Health & Safety Hazard<br>Exposure Control - Ionising<br>Radiation | The activities involved in<br>controlling the exposure of<br>staff, students and others to<br>ionising radiation in the<br>institution's premises or in<br>other places affected by its<br>operations. | Activities include fulfilling<br>the institution's duties<br>under the Ionising<br>Radiations Regulations 1999<br>(SI 1999/3232) by: assessing<br>the risks to health created<br>by work with ionising<br>radiation (Regulation 7);<br>providing (Regulation 8) and<br>maintaining (Regulation 10)<br>equipment to control<br>exposure to ionising<br>radiation; developing<br>contingency plans to deal<br>with radiation accidents<br>(Regulation 12); providing<br>information, instruction and<br>training for employees who<br>are exposed to ionising<br>radiation (Regulation 14);<br>maintaining equipment for<br>monitoring levels of ionising<br>radiation (Regulation 19);<br>monitoring of levels of<br>ionising radiation in<br>designated controlled areas<br>(Regulation 19); assessing<br>doses of ionising radiation<br>received by 'classified<br>persons' which are likely to<br>be significant (Regulation<br>21); investigating the<br>exposure of 'classified<br>persons' to ionising<br>radiation (Regulation 22);<br>assessments of individual<br>doses of ionising radiation<br>received as a result of a<br>radiation accident<br>(Regulation 23); conducting<br>medical surveillance of<br>individual employees who<br>are exposed to ionising<br>radiation and are required<br>to be under medical<br>surveillance (Regulation 24);<br>investigating (possible)<br>overexposure to ionising<br>radiation (Regulation 25);<br>testing to detect leakage<br>from articles containing or<br>embodying radioactive<br>substances (Regulation 27);<br>keeping records of the<br>quantity and location of<br>radioactive substances<br>(Regulation 28); conducting<br>investigations into (possible)<br>accidental release or theft of<br>radioactive substances<br>(Regulation 30). | Records documenting<br>immediate investigations<br>into possible accidental<br>release or theft of<br>radioactive substances,<br>where no release or theft<br>was found to have occurred,<br>to fulfil the institution's<br>duties under Regulation 30<br>of the Ionising Radiations<br>Regulations 1999 (SI<br>1999/3232). |  |  |  |  |
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| HEALTH & SAFETY<br>MANAGEMENT | Health & Safety Hazard<br>Exposure Control - Ionising<br>Radiation | The activities involved in<br>controlling the exposure of<br>staff, students and others to<br>ionising radiation in the<br>institution's premises or in<br>other places affected by its<br>operations. | Activities include fulfilling<br>the institution's duties<br>under the Ionising<br>Radiations Regulations 1999<br>(SI 1999/3232) by: assessing<br>the risks to health created<br>by work with ionising<br>radiation (Regulation 7);<br>providing (Regulation 8) and<br>maintaining (Regulation 10)<br>equipment to control<br>exposure to ionising<br>radiation; developing<br>contingency plans to deal<br>with radiation accidents<br>(Regulation 12); providing<br>information, instruction and<br>training for employees who<br>are exposed to ionising<br>radiation (Regulation 14);<br>maintaining equipment for<br>monitoring levels of ionising<br>radiation (Regulation 19);<br>monitoring of levels of<br>ionising radiation in<br>designated controlled areas<br>(Regulation 19); assessing<br>doses of ionising radiation<br>received by 'classified<br>persons' which are likely to<br>be significant (Regulation<br>21); investigating the<br>exposure of 'classified<br>persons' to ionising<br>radiation (Regulation 22);<br>assessments of individual<br>doses of ionising radiation<br>received as a result of a<br>radiation accident<br>(Regulation 23); conducting<br>medical surveillance of<br>individual employees who<br>are exposed to ionising<br>radiation and are required<br>to be under medical<br>surveillance (Regulation 24);<br>investigating (possible)<br>overexposure to ionising<br>radiation (Regulation 25);<br>testing to detect leakage<br>from articles containing or<br>embodying radioactive<br>substances (Regulation 27);<br>keeping records of the<br>quantity and location of<br>radioactive substances<br>(Regulation 28); conducting<br>investigations into (possible)<br>accidental release or theft of<br>radioactive substances<br>(Regulation 30). | Records documenting<br>immediate investigations<br>into possible accidental<br>release or theft of<br>radioactive substances,<br>where accidental release or<br>theft was found to have<br>occurred, to fulfil the<br>institution's duties under<br>Regulation 30 of the Ionising<br>Radiations Regulations 1999<br>(SI 1999/3232). |  |  |  |  |
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| <b>HEALTH &amp; SAFETY MANAGEMENT</b> | Health & Safety Incident Recording, Reporting & Investigation | The activities involved in recording and investigating accidents, dangerous occurrences and outbreaks of disease on the institution's premises, and in reporting reportable incidents to the enforcing authorities. | Activities include fulfilling the institution's duties under the Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 1995 (SI 1995/3163) by recording the details of injuries, dangerous occurrences and outbreaks of notifiable diseases (Regulation 7). | Records of injuries, dangerous occurrences and outbreaks of notifiable diseases on the institution's premises, to fulfil the institution's duties under Regulation 7 of the Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 1995 (SI 1995/3163). | Yes. | Article 6 S.1 (a), consent. Article 6 S.1 (b), necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract. Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject. | Yes. | Article 9, S.2 (a), explicit consent. Article 9, S.2 (b), necessary for the purposes of carrying out the obligations and exercising specific rights of the controller or of the data subject in the field of employment and social security and social protection law. Article 9, S.2 (h), necessary for the purposes of preventive or occupational medicine, for the assessment of the working capacity of the employee, medical diagnosis, the provision of health or social care or treatment or the management of health or social care systems and services on the basis of Union or Member State law or pursuant to contract with a health professional. |
| <b>HEALTH &amp; SAFETY MANAGEMENT</b> | Health & Safety Incident Recording, Reporting & Investigation | The activities involved in recording and investigating accidents, dangerous occurrences and outbreaks of disease on the institution's premises, and in reporting reportable incidents to the enforcing authorities. | Activities include fulfilling the institution's duties under the Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 1995 (SI 1995/3163) by recording the details of injuries, dangerous occurrences and outbreaks of notifiable diseases (Regulation 7). | Records documenting the investigation of accidents, dangerous occurrences and outbreaks of notifiable diseases on the institution's premises.  | Yes. | Article 6 S.1 (a), consent. Article 6 S.1 (b), necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract. Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject. | Yes. | Article 9, S.2 (a), explicit consent. Article 9, S.2 (b), necessary for the purposes of carrying out the obligations and exercising specific rights of the controller or of the data subject in the field of employment and social security and social protection law. Article 9, S.2 (h), necessary for the purposes of preventive or occupational medicine, for the assessment of the working capacity of the employee, medical diagnosis, the provision of health or social care or treatment or the management of health or social care systems and services on the basis of Union or Member State law or pursuant to contract with a health professional. |

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| <b>HEALTH &amp; SAFETY MANAGEMENT</b> | Health & Safety Incident Recording, Reporting & Investigation | The activities involved in recording and investigating accidents, dangerous occurrences and outbreaks of disease on the institution's premises, and in reporting reportable incidents to the enforcing authorities. | Activities include fulfilling the institution's duties under the Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 1995 (SI 1995/3163) by recording the details of injuries, dangerous occurrences and outbreaks of notifiable diseases (Regulation 7).  | Records documenting the notification and reporting (to the relevant enforcing authorities) of reportable accidents, dangerous occurrences and outbreaks of notifiable diseases to enforcing authorities.  |  |  |  |  |
| <b>HEALTH &amp; SAFETY MANAGEMENT</b> | Health & Safety Incident Management                           | The activities involved in planning for the handling of health and safety incidents (including fires) on the institution's premises, and in responding to incidents which occur.                                    | Activities include: conducting safety risk assessments; assessing requirements for the nomination/appointment of specially-trained staff to assist in implementing safety measures; nominating staff to be trained to assist in implementing safety measures, and providing training; assessing requirements for fire detection, fire-fighting and other emergency response equipment; maintaining such equipment for the use of specially-trained staff or fire-fighters; making arrangements with external emergency services for the provision of first-aid, emergency medical assistance, fire-fighting and rescue services; conducting evacuation drills to test procedures for evacuating premises in the event of an emergency. | Records documenting the conduct, review and revision of fire safety risk assessments to fulfil the institution's duties under Article 9 of the Regulatory Reform (Fire Safety) Order 2005 (SI 2005/1541) or Section 53 and/or Section 54 of the Fire (Scotland) Act 2005 (asp 5). |  |  |  |  |

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| <b>HEALTH &amp; SAFETY MANAGEMENT</b> | Health & Safety Incident Management | The activities involved in planning for the handling of health and safety incidents (including fires) on the institution's premises, and in responding to incidents which occur. | Activities include: conducting safety risk assessments; assessing requirements for the nomination/appointment of specially-trained staff to assist in implementing safety measures; nominating staff to be trained to assist in implementing safety measures, and providing training; assessing requirements for fire detection, fire-fighting and other emergency response equipment; maintaining such equipment for the use of specially-trained staff or fire-fighters; making arrangements with external emergency services for the provision of first-aid, emergency medical assistance, fire-fighting and rescue services; conducting evacuation drills to test procedures for evacuating premises in the event of an emergency. | Records documenting fire safety arrangements made to fulfil the institution's duties under Article 11 of the Regulatory Reform (Fire Safety) Order 2005 (SI 2005/1541).   |      |   |  |  |
| <b>HEALTH &amp; SAFETY MANAGEMENT</b> | Health & Safety Incident Management | The activities involved in planning for the handling of health and safety incidents (including fires) on the institution's premises, and in responding to incidents which occur. | Activities include: conducting safety risk assessments; assessing requirements for the nomination/appointment of specially-trained staff to assist in implementing safety measures; nominating staff to be trained to assist in implementing safety measures, and providing training; assessing requirements for fire detection, fire-fighting and other emergency response equipment; maintaining such equipment for the use of specially-trained staff or fire-fighters; making arrangements with external emergency services for the provision of first-aid, emergency medical assistance, fire-fighting and rescue services; conducting evacuation drills to test procedures for evacuating premises in the event of an emergency. | Records documenting the nomination of 'competent persons' to implement fire-fighting measures to fulfil the institution's duties under Article 13 of the Regulatory Reform (Fire Safety) Order 2005 (SI 2005/1541). | Yes. | Article 6 S.1 (a), consent.<br>Article 6 S.1 (b), necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract.<br>Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject. |  |  |

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| <b>HEALTH &amp; SAFETY MANAGEMENT</b> | Health & Safety Incident Management | The activities involved in planning for the handling of health and safety incidents (including fires) on the institution's premises, and in responding to incidents which occur. | Activities include: conducting safety risk assessments; assessing requirements for the nomination/appointment of specially-trained staff to assist in implementing safety measures; nominating staff to be trained to assist in implementing safety measures, and providing training; assessing requirements for fire detection, fire-fighting and other emergency response equipment; maintaining such equipment for the use of specially-trained staff or fire-fighters; making arrangements with external emergency services for the provision of first-aid, emergency medical assistance, fire-fighting and rescue services; conducting evacuation drills to test procedures for evacuating premises in the event of an emergency. | Records documenting the provision of role-specific training for 'competent persons' to implement fire-fighting measures in the institution's premises to fulfil the institution's duties under Article 13 of the Regulatory Reform (Fire Safety) Order 2005 (SI 2005/1541). | Yes. | Article 6 S.1 (a), consent. Article 6 S.1 (b), necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract. Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject. |  |  |
| <b>HEALTH &amp; SAFETY MANAGEMENT</b> | Health & Safety Incident Management | The activities involved in planning for the handling of health and safety incidents (including fires) on the institution's premises, and in responding to incidents which occur. | Activities include: conducting safety risk assessments; assessing requirements for the nomination/appointment of specially-trained staff to assist in implementing safety measures; nominating staff to be trained to assist in implementing safety measures, and providing training; assessing requirements for fire detection, fire-fighting and other emergency response equipment; maintaining such equipment for the use of specially-trained staff or fire-fighters; making arrangements with external emergency services for the provision of first-aid, emergency medical assistance, fire-fighting and rescue services; conducting evacuation drills to test procedures for evacuating premises in the event of an emergency. | Records documenting the conduct, review and revision of assessments of requirements for fire-fighting equipment and for fire detectors and alarms to fulfil the institution's duties under Article 13 of the Regulatory Reform (Fire Safety) Order 2005 (SI 2005/1541).     |      |   |  |  |

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| <b>HEALTH &amp; SAFETY MANAGEMENT</b> | Health & Safety Incident Management | The activities involved in planning for the handling of health and safety incidents (including fires) on the institution's premises, and in responding to incidents which occur. | Activities include: conducting safety risk assessments; assessing requirements for the nomination/appointment of specially-trained staff to assist in implementing safety measures; nominating staff to be trained to assist in implementing safety measures, and providing training; assessing requirements for fire detection, fire-fighting and other emergency response equipment; maintaining such equipment for the use of specially-trained staff or fire-fighters; making arrangements with external emergency services for the provision of first-aid, emergency medical assistance, fire-fighting and rescue services; conducting evacuation drills to test procedures for evacuating premises in the event of an emergency. | Records documenting the maintenance of premises, facilities and equipment to fulfil the institution's duties under Article 17 of the Regulatory Reform (Fire Safety) Order 2005 (SI 2005/1541).                                 |      |   |  |  |
| <b>HEALTH &amp; SAFETY MANAGEMENT</b> | Health & Safety Incident Management | The activities involved in planning for the handling of health and safety incidents (including fires) on the institution's premises, and in responding to incidents which occur. | Activities include: conducting safety risk assessments; assessing requirements for the nomination/appointment of specially-trained staff to assist in implementing safety measures; nominating staff to be trained to assist in implementing safety measures, and providing training; assessing requirements for fire detection, fire-fighting and other emergency response equipment; maintaining such equipment for the use of specially-trained staff or fire-fighters; making arrangements with external emergency services for the provision of first-aid, emergency medical assistance, fire-fighting and rescue services; conducting evacuation drills to test procedures for evacuating premises in the event of an emergency. | Records documenting the appointment of 'competent persons' to assist in implementing fire safety measures to fulfil the institution's duties under Article 18 of the Regulatory Reform (Fire Safety) Order 2005 (SI 2005/1541). | Yes. | Article 6 S.1 (a), consent.<br>Article 6 S.1 (b), necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract.<br>Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject. |  |  |

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| <b>HEALTH &amp; SAFETY MANAGEMENT</b> | Health & Safety Incident Management | The activities involved in planning for the handling of health and safety incidents (including fires) on the institution's premises, and in responding to incidents which occur. | Activities include: conducting safety risk assessments; assessing requirements for the nomination/appointment of specially-trained staff to assist in implementing safety measures; nominating staff to be trained to assist in implementing safety measures, and providing training; assessing requirements for fire detection, fire-fighting and other emergency response equipment; maintaining such equipment for the use of specially-trained staff or fire-fighters; making arrangements with external emergency services for the provision of first-aid, emergency medical assistance, fire-fighting and rescue services; conducting evacuation drills to test procedures for evacuating premises in the event of an emergency. | Records documenting the conduct and review of safety drills to fulfil the institution's duties under Article 15 of the Regulatory Reform (Fire safety) Order 2005 (SI 2005/1541).   |                                    |   |  |  |
| <b>HEALTH &amp; SAFETY MANAGEMENT</b> | Health & Safety Incident Management | The activities involved in planning for the handling of health and safety incidents (including fires) on the institution's premises, and in responding to incidents which occur. | Activities include: conducting safety risk assessments; assessing requirements for the nomination/appointment of specially-trained staff to assist in implementing safety measures; nominating staff to be trained to assist in implementing safety measures, and providing training; assessing requirements for fire detection, fire-fighting and other emergency response equipment; maintaining such equipment for the use of specially-trained staff or fire-fighters; making arrangements with external emergency services for the provision of first-aid, emergency medical assistance, fire-fighting and rescue services; conducting evacuation drills to test procedures for evacuating premises in the event of an emergency. | Records documenting arrangements with external emergency services for the provision of first-aid, emergency medical care, fire-fighting and rescue services (including the provision of information on the institution's emergency procedures and arrangements) to fulfil the institution's duties under Article 16 of the Regulatory Reform (Fire Safety) Order 2005 (SI 2005/1541). | Yes (eg personal contact details). | Article 6 S.1 (b), necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract. |  |  |



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| <b>HEALTH &amp; SAFETY MANAGEMENT</b> | Health & Safety Incident Management | The activities involved in planning for the handling of health and safety incidents (including fires) on the institution's premises, and in responding to incidents which occur. | Activities include: conducting safety risk assessments; assessing requirements for the nomination/appointment of specially-trained staff to assist in implementing safety measures; nominating staff to be trained to assist in implementing safety measures, and providing training; assessing requirements for fire detection, fire-fighting and other emergency response equipment; maintaining such equipment for the use of specially-trained staff or fire-fighters; making arrangements with external emergency services for the provision of first-aid, emergency medical assistance, fire-fighting and rescue services; conducting evacuation drills to test procedures for evacuating premises in the event of an emergency. | Records documenting the maintenance of premises, facilities and equipment provided for the use by, or the protection of, fire-fighters to fulfil the institution's duties under Article 38 of the Regulatory Reform (Fire Safety) Order 2005 (SI 2005/1541). |      |   |  |  |
| <b>HEALTH &amp; SAFETY MANAGEMENT</b> | Health & Safety Incident Management | The activities involved in planning for the handling of health and safety incidents (including fires) on the institution's premises, and in responding to incidents which occur. | Activities include: conducting safety risk assessments; assessing requirements for the nomination/appointment of specially-trained staff to assist in implementing safety measures; nominating staff to be trained to assist in implementing safety measures, and providing training; assessing requirements for fire detection, fire-fighting and other emergency response equipment; maintaining such equipment for the use of specially-trained staff or fire-fighters; making arrangements with external emergency services for the provision of first-aid, emergency medical assistance, fire-fighting and rescue services; conducting evacuation drills to test procedures for evacuating premises in the event of an emergency. | Records documenting the provision of fire safety training to employees to fulfil the institution's duties under Article 21 of the Regulatory Reform (Fire Safety) Order 2005 (SI 2005/1541).   | Yes. | Article 6 S.1 (a), consent.Article 6 S.1 (b), necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract.Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject. |  |  |

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| <b>HEALTH &amp; SAFETY MANAGEMENT</b> | Health & Safety Incident Management | The activities involved in planning for the handling of health and safety incidents (including fires) on the institution's premises, and in responding to incidents which occur. | Activities include: conducting safety risk assessments; assessing requirements for the nomination/appointment of specially-trained staff to assist in implementing safety measures; nominating staff to be trained to assist in implementing safety measures, and providing training; assessing requirements for fire detection, fire-fighting and other emergency response equipment; maintaining such equipment for the use of specially-trained staff or fire-fighters; making arrangements with external emergency services for the provision of first-aid, emergency medical assistance, fire-fighting and rescue services; conducting evacuation drills to test procedures for evacuating premises in the event of an emergency. | Records documenting the appointment of first aiders.   | Yes. | Article 6 S.1 (a), consent.<br>Article 6 S.1 (b), necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract.<br>Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject. |  |  |
| <b>HEALTH &amp; SAFETY MANAGEMENT</b> | Health & Safety Incident Management | The activities involved in planning for the handling of health and safety incidents (including fires) on the institution's premises, and in responding to incidents which occur. | Activities include: conducting safety risk assessments; assessing requirements for the nomination/appointment of specially-trained staff to assist in implementing safety measures; nominating staff to be trained to assist in implementing safety measures, and providing training; assessing requirements for fire detection, fire-fighting and other emergency response equipment; maintaining such equipment for the use of specially-trained staff or fire-fighters; making arrangements with external emergency services for the provision of first-aid, emergency medical assistance, fire-fighting and rescue services; conducting evacuation drills to test procedures for evacuating premises in the event of an emergency. | Records documenting the provision of approved training for first aiders to fulfil the institution's duties under Regulation 3 of the Health and Safety (First Aid) Regulations 1981 (SI 1981/917). | Yes. | Article 6 S.1 (a), consent.<br>Article 6 S.1 (b), necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract.<br>Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject. |  |  |

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| <b>HEALTH &amp; SAFETY MANAGEMENT</b> | Health & Safety Incident Management | The activities involved in planning for the handling of health and safety incidents (including fires) on the institution's premises, and in responding to incidents which occur. | Activities include: conducting safety risk assessments; assessing requirements for the nomination/appointment of specially-trained staff to assist in implementing safety measures; nominating staff to be trained to assist in implementing safety measures, and providing training; assessing requirements for fire detection, fire-fighting and other emergency response equipment; maintaining such equipment for the use of specially-trained staff or fire-fighters; making arrangements with external emergency services for the provision of first-aid, emergency medical assistance, fire-fighting and rescue services; conducting evacuation drills to test procedures for evacuating premises in the event of an emergency. | Records documenting the provision of information about first aid arrangements to employees, to fulfil the institution's duties under Regulation 4 of the Health and Safety (First Aid) Regulations 1981 (SI 1981/917).   | Yes. | Article 6 S.1 (a), consent. Article 6 S.1 (b), necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract. Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject. |  |  |
| <b>HEALTH &amp; SAFETY MANAGEMENT</b> | Health & Safety Incident Management | The activities involved in planning for the handling of health and safety incidents (including fires) on the institution's premises, and in responding to incidents which occur. | Activities include: conducting safety risk assessments; assessing requirements for the nomination/appointment of specially-trained staff to assist in implementing safety measures; nominating staff to be trained to assist in implementing safety measures, and providing training; assessing requirements for fire detection, fire-fighting and other emergency response equipment; maintaining such equipment for the use of specially-trained staff or fire-fighters; making arrangements with external emergency services for the provision of first-aid, emergency medical assistance, fire-fighting and rescue services; conducting evacuation drills to test procedures for evacuating premises in the event of an emergency. | Records documenting the conduct, review and revision of assessments of requirements for first aid facilities, equipment and trained personnel to fulfil the institution's duties under Regulation 3 of the Health and Safety (First Aid) Regulations 1981 (SI 1981/917). |      |   |  |  |

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| ENVIRONMENTAL<br>MANAGEMENT |                                    | The function of managing the impact of the institution and its business on the environment, and of ensuring compliance with legislation on environmental matters. |  |  |  |  |  |  |
| ENVIRONMENTAL<br>MANAGEMENT | Environmental Strategy Development | The activities involved in developing and establishing the institution's environmental strategy.  | Activities include: identifying requirements for new/revised strategy; undertaking research; developing strategy proposals; consulting on strategy proposals; reviewing and revising strategy proposals in the light of comments received; drafting strategy documents; consulting on strategy documents; reviewing draft strategy documents in the light of comments received; producing final strategy documents; submitting final strategy documents for formal endorsement; formally endorsing strategy documents; disseminating strategy documents; reviewing strategy. | Records documenting the development and establishment of the institution's environmental management strategy: key records. |  |  |  |  |

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| <b>ENVIRONMENTAL<br/>MANAGEMENT</b> | Environmental Strategy<br>Development          | The activities involved in<br>developing and establishing<br>the institution's<br>environmental strategy.            | Activities include: identifying<br>requirements for<br>new/revised strategy;<br>undertaking research;<br>developing strategy<br>proposals; consulting on<br>strategy proposals;<br>reviewing and revising<br>strategy proposals in the<br>light of comments received;<br>drafting strategy<br>documents; consulting on<br>strategy documents;<br>reviewing draft strategy<br>documents in the light of<br>comments received;<br>producing final strategy<br>documents; submitting final<br>strategy documents for<br>formal endorsement;<br>formally endorsing strategy<br>documents; disseminating<br>strategy documents;<br>reviewing strategy. | Records documenting the<br>development and<br>establishment of the<br>institution's environmental<br>management strategy:<br>working papers. |  |  |  |  |
| <b>ENVIRONMENTAL<br/>MANAGEMENT</b> | Environmental Management<br>Policy Development | The activities involved in<br>developing and establishing<br>the institution's policies on<br>environmental matters. | Activities include: identifying<br>requirements for<br>new/revised policy;<br>undertaking research;<br>developing policy proposals;<br>consulting on policy<br>proposals; reviewing and<br>revising policy proposals in<br>the light of comments<br>received; drafting policy<br>documents; consulting on<br>policy documents; reviewing<br>draft policy documents in<br>the light of comments<br>received; producing final<br>policy documents;<br>submitting final policy<br>documents for formal<br>approval; formally<br>approving policy<br>documents; disseminating<br>policy documents; reviewing<br>policy.                               | Records documenting the<br>development and<br>establishment of the<br>institution's environmental<br>management policies: key<br>records.    |  |  |  |  |

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| <b>ENVIRONMENTAL<br/>MANAGEMENT</b> | Environmental Management<br>Policy Development    | The activities involved in developing and establishing the institution's policies on environmental matters.     | Activities include: identifying requirements for new/revised policy; undertaking research; developing policy proposals; consulting on policy proposals; reviewing and revising policy proposals in the light of comments received; drafting policy documents; consulting on policy documents; reviewing draft policy documents in the light of comments received; producing final policy documents; submitting final policy documents for formal approval; formally approving policy documents; disseminating policy documents; reviewing policy. | Records documenting the development and establishment of the institution's environmental management policies: working papers. |  |  |  |  |
| <b>ENVIRONMENTAL<br/>MANAGEMENT</b> | Environmental Management<br>Procedure Development | The activities involved in developing the institution's procedures for the management of environmental matters. | Activities include: identifying needs for new/revised procedure; undertaking research; analysing work processes; drafting procedure documents; consulting on procedure documents; reviewing draft procedure documents in the light of comments received; trialling procedure; refining procedure as a result of trials; submitting final procedure documents for formal approval; formally approving procedure documents; disseminating procedure documents; reviewing procedure.   | Records documenting the development of the institution's procedures relating to environmental management.                     |  |  |  |  |
| <b>ENVIRONMENTAL<br/>MANAGEMENT</b> | Environmental Management<br>Procedure Development | The activities involved in developing the institution's procedures for the management of environmental matters. | Activities include: identifying needs for new/revised procedure; undertaking research; analysing work processes; drafting procedure documents; consulting on procedure documents; reviewing draft procedure documents in the light of comments received; trialling procedure; refining procedure as a result of trials; submitting final procedure documents for formal approval; formally approving procedure documents; disseminating procedure documents; reviewing procedure.   | Master copies of procedures relating to environmental management.   |  |  |  |  |

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| <b>ENVIRONMENTAL<br/>MANAGEMENT</b> | Environmental Audit                                      | The activities involved in conducting environmental audits of the institution's activities and operations.   | Activities include: planning audits; conducting audits; writing and delivering audit reports; reviewing and responding to audit reports.   | Records documenting the conduct and results of environmental audits, and action taken to address issues raised.   |  |  |  |  |
| <b>ENVIRONMENTAL<br/>MANAGEMENT</b> | Environmental Hazard Identification & Risk Assessment    | The activities involved in identifying environmental risks affecting the institution's premises or operations, conducting risk assessments to establish the likelihood and consequences of those risks and implementing appropriate measures to eliminate the risks or to mitigate their consequences. |  | Records documenting identified environmental hazards to the institution, or created by its operations, and the conduct and results of risk assessments. |  |  |  |  |
| <b>ENVIRONMENTAL<br/>MANAGEMENT</b> | Environmental Management Scheme Accreditation Management | The activities involved in obtaining and maintaining accreditation under established environmental management schemes (e.g. EMAS).   | Activities include: applying for accreditation; liaising with accreditation bodies; facilitating inspections/audits by accrediting bodies. | Records documenting the attainment and maintenance of the institution's accreditation under established environmental management schemes.               |  |  |  |  |

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| <b>ENVIRONMENTAL<br/>MANAGEMENT</b> | Environmental Awareness<br>Promotion                              | The activities involved in raising awareness of environmental issues among the institution's staff and students, to improve the institution's overall environmental performance.                              | Activities include: designing and implementing campaigns to raise staff and student awareness of environmental issues. | Records documenting action taken by the institution to raise awareness of environmental issues among its employees, other staff and students. |      |  |  |  |
| <b>ENVIRONMENTAL<br/>MANAGEMENT</b> | Environmental Incident<br>Recording, Reporting &<br>Investigation | The activities involved in recording and investigating environmental incidents on the institution's premises or caused by its operations, and in reporting reportable incidents to the enforcing authorities. |  | Records documenting the recording of environmental incidents on the institution's premises or caused by its operations.                       | Yes. | Article 6 S.1 (b), necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract.<br>Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject. |  |  |
| <b>ENVIRONMENTAL<br/>MANAGEMENT</b> | Environmental Incident<br>Recording, Reporting &<br>Investigation | The activities involved in recording and investigating environmental incidents on the institution's premises or caused by its operations, and in reporting reportable incidents to the enforcing authorities. |  | Records documenting the investigation of environmental incidents on the institution's premises or caused by its operations.                   | Yes. | Article 6 S.1 (b), necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract.<br>Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject. |  |  |



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| ENVIRONMENTAL<br>MANAGEMENT | Environmental Incident<br>Recording, Reporting &<br>Investigation | The activities involved in<br>recording and investigating<br>environmental incidents on<br>the institution's premises or<br>caused by its operations,<br>and in reporting reportable<br>incidents to the enforcing<br>authorities. |  | Records documenting the<br>notification and reporting of<br>reportable environmental<br>incidents to enforcing<br>authorities.   |  |  |  |  |
| ENVIRONMENTAL<br>MANAGEMENT | Energy Management   | The activities involved in<br>monitoring and controlling<br>the institution's use and<br>consumption of energy.  | Activities include:<br>conducting energy audits. | Records documenting<br>routine monitoring of the<br>institution's use and<br>consumption of energy.  |  |  |  |  |
| ENVIRONMENTAL<br>MANAGEMENT | Energy Management   | The activities involved in<br>monitoring and controlling<br>the institution's use and<br>consumption of energy.  | Activities include:<br>conducting energy audits. | Records documenting the<br>conduct and results of<br>formal reviews of the<br>institution's use and<br>consumption of energy, and<br>action taken to address<br>issues raised. |  |  |  |  |

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| ENVIRONMENTAL<br>MANAGEMENT | Waste Management | The activities involved in collecting, classifying, storing, and disposing of the institution's waste. | Activities include:<br>conducting waste audits. | Register of 'special waste' removed from the premises for disposal by registered/licensed contractors, as required by Regulation 15 of the Special Waste Regulations 1996 (SI 1996/972). |  |  |  |  |
| ENVIRONMENTAL<br>MANAGEMENT | Waste Management | The activities involved in collecting, classifying, storing, and disposing of the institution's waste. | Activities include:<br>conducting waste audits. | Records documenting hazardous waste to be disposed of, as required by Regulation 49 of the Hazardous Waste (England and Wales) Regulations 2005 (SI 2005/894).                           |  |  |  |  |
| ESTATE MANAGEMENT           |                  | The function of managing the institution's estate.   |   |  |  |  |  |  |

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| ESTATE MANAGEMENT | Estate Strategy Development | The activities involved in developing and establishing the institution's estate strategy. | Activities include: identifying requirements for new/revised strategy; undertaking research; developing strategy proposals; consulting on strategy proposals; reviewing and revising strategy proposals in the light of comments received; drafting strategy documents; consulting on strategy documents; reviewing draft strategy documents in the light of comments received; producing final strategy documents; submitting final strategy documents for formal endorsement; formally endorsing strategy documents; disseminating strategy documents; reviewing strategy. | Records documenting the development and establishment of the institution's estate strategy: key records.    |  |  |  |  |
| ESTATE MANAGEMENT | Estate Strategy Development | The activities involved in developing and establishing the institution's estate strategy. | Activities include: identifying requirements for new/revised strategy; undertaking research; developing strategy proposals; consulting on strategy proposals; reviewing and revising strategy proposals in the light of comments received; drafting strategy documents; consulting on strategy documents; reviewing draft strategy documents in the light of comments received; producing final strategy documents; submitting final strategy documents for formal endorsement; formally endorsing strategy documents; disseminating strategy documents; reviewing strategy. | Records documenting the development and establishment of the institution's estate strategy: working papers. |  |  |  |  |

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| ESTATE MANAGEMENT | Estate Management Policy Development | The activities involved in developing and establishing the institution's policies on the management of its estate. | Activities include: identifying requirements for new/revised policy; undertaking research; developing policy proposals; consulting on policy proposals; reviewing and revising policy proposals in the light of comments received; drafting policy documents; consulting on policy documents; reviewing draft policy documents in the light of comments received; producing final policy documents; submitting final policy documents for formal approval; formally approving policy documents; disseminating policy documents; reviewing policy. | Records documenting the development and establishment of the institution's estate management policies: key records.    |  |  |  |  |
| ESTATE MANAGEMENT | Estate Management Policy Development | The activities involved in developing and establishing the institution's policies on the management of its estate. | Activities include: identifying requirements for new/revised policy; undertaking research; developing policy proposals; consulting on policy proposals; reviewing and revising policy proposals in the light of comments received; drafting policy documents; consulting on policy documents; reviewing draft policy documents in the light of comments received; producing final policy documents; submitting final policy documents for formal approval; formally approving policy documents; disseminating policy documents; reviewing policy. | Records documenting the development and establishment of the institution's estate management policies: working papers. |  |  |  |  |

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| ESTATE MANAGEMENT | Estate Management Procedure Development | The activities involved in developing and establishing the institution's procedures for the management of its estate.             | Activities include: identifying needs for new/revised procedure; undertaking research; analysing work processes; drafting procedure documents; consulting on procedure documents; reviewing draft procedure documents in the light of comments received; trialling procedure; refining procedure as a result of trials; submitting final procedure documents for formal approval; formally approving procedure documents; disseminating procedure documents; reviewing procedure. | Records documenting the development of the institution's procedures relating to estate management. |     |  |  |  |
| ESTATE MANAGEMENT | Estate Management Procedure Development | The activities involved in developing and establishing the institution's procedures for the management of its estate.             | Activities include: identifying needs for new/revised procedure; undertaking research; analysing work processes; drafting procedure documents; consulting on procedure documents; reviewing draft procedure documents in the light of comments received; trialling procedure; refining procedure as a result of trials; submitting final procedure documents for formal approval; formally approving procedure documents; disseminating procedure documents; reviewing procedure. | Master copies of procedures relating to estate management.   |     |  |  |  |
| ESTATE MANAGEMENT | Property Acquisition                    | The activities involved in acquiring ownership or use of land or buildings through purchase, transfer, donation, lease or rental. |   | Records documenting the acquisition of ownership of properties.                                    | Yes | Article 6 S.1 (b), necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract.Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject.Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller.[University Charter, S.3 (I) - To accept the transfer to the University of any property of whatever description and to |  |  |

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|                   |                      |   |  |  |     | enter into any agreement with respect thereto.]  |  |  |
| ESTATE MANAGEMENT | Property Acquisition | The activities involved in acquiring ownership or use of land or buildings through purchase, transfer, donation, lease or rental. |  | Deeds of title for properties owned by the institution.                              | Yes | Article 6 S.1 (b), necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract.<br>Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject.<br>Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller.<br>[University Charter, S.3 (I) - To accept the transfer to the University of any property of whatever description and to enter into any agreement with respect thereto.] |  |  |
| ESTATE MANAGEMENT | Property Acquisition | The activities involved in acquiring ownership or use of land or buildings through purchase, transfer, donation, lease or rental. |  | Records documenting negotiations for properties where the property was not acquired. | Yes | Article 6 S.1 (b), necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract.<br>Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject.<br>Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller.<br>[University Charter, S.3 (I) - To accept the transfer to the University of any property of   |  |  |

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|                   |                      |   |   |  |     | whatever description and to enter into any agreement with respect thereto.]  |  |  |
| ESTATE MANAGEMENT | Property Acquisition | The activities involved in acquiring ownership or use of land or buildings through purchase, transfer, donation, lease or rental. |   | Records documenting the negotiation of leases and original lease agreements. | Yes | Article 6 S.1 (b), necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract.<br>Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject.<br>Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller.<br>[University Charter, S.3 (I) - To accept the transfer to the University of any property of whatever description and to enter into any agreement with respect thereto.] |  |  |
| ESTATE MANAGEMENT | Property Development | The activities involved in developing newly-acquired land and buildings and in redeveloping existing land and buildings.          | Activities include: undertaking feasibility studies; conducting consultations; developing specifications; preparing building plans; obtaining planning consents; obtaining permits for specific types of work; undertaking development works; inspecting completed works and arranging external inspections to obtain necessary certifications. | Records documenting the development of properties.                           |     |  |  |  |

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| ESTATE MANAGEMENT | Property Development | The activities involved in developing newly-acquired land and buildings and in redeveloping existing land and buildings. | Activities include: undertaking feasibility studies; conducting consultations; developing specifications; preparing building plans; obtaining planning consents; obtaining permits for specific types of work; undertaking development works; inspecting completed works and arranging external inspections to obtain necessary certifications. | Health and Safety File for a structure, as required by Regulation 14(d) of the Construction (Design and Management) Regulations 1994 (SI 1994/3140) |     |  |  |  |
| ESTATE MANAGEMENT | Property Development | The activities involved in developing newly-acquired land and buildings and in redeveloping existing land and buildings. | Activities include: undertaking feasibility studies; conducting consultations; developing specifications; preparing building plans; obtaining planning consents; obtaining permits for specific types of work; undertaking development works; inspecting completed works and arranging external inspections to obtain necessary certifications. | Records documenting applications for planning consents required to (re)develop property and consents granted.                                       | Yes | Article 6 S.1 (b), necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract.<br>Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject.<br>Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller.<br>[University Charter, S.3 (I) - To accept the transfer to the University of any property of whatever description and to enter into any agreement with respect thereto.] |  |  |
| ESTATE MANAGEMENT | Property Maintenance | The activities involved in maintaining land and buildings.   | Activities include: conducting general inspections; establishing and implementing planned maintenance programmes; carrying out reactive maintenance; conducting inspections to determine the presence and condition of hazardous materials (e.g. asbestos); carrying out decontamination works.   | Records documenting routine inspections of property.  |     |  |  |  |



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| ESTATE MANAGEMENT | Property Maintenance | The activities involved in maintaining land and buildings. | Activities include: conducting general inspections; establishing and implementing planned maintenance programmes; carrying out reactive maintenance; conducting inspections to determine the presence and condition of hazardous materials (e.g. asbestos); carrying out decontamination works. | Records documenting major maintenance works on property.  |  |  |  |  |
| ESTATE MANAGEMENT | Property Maintenance | The activities involved in maintaining land and buildings. | Activities include: conducting general inspections; establishing and implementing planned maintenance programmes; carrying out reactive maintenance; conducting inspections to determine the presence and condition of hazardous materials (e.g. asbestos); carrying out decontamination works. | Records documenting minor maintenance works on property.  |  |  |  |  |
| ESTATE MANAGEMENT | Property Maintenance | The activities involved in maintaining land and buildings. | Activities include: conducting general inspections; establishing and implementing planned maintenance programmes; carrying out reactive maintenance; conducting inspections to determine the presence and condition of hazardous materials (e.g. asbestos); carrying out decontamination works. | Records documenting assessments made to determine the presence (or likely presence) of asbestos in premises, as required by Regulation 4(3) of the Control of Asbestos Regulations 2006 (SI 2006/2739). |  |  |  |  |

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| ESTATE MANAGEMENT | Property Maintenance         | The activities involved in maintaining land and buildings.   | Activities include: conducting general inspections; establishing and implementing planned maintenance programmes; carrying out reactive maintenance; conducting inspections to determine the presence and condition of hazardous materials (e.g. asbestos); carrying out decontamination works. | Records documenting the monitoring of the condition of asbestos in premises, and of maintaining or removing it.               |     |  |  |  |
| ESTATE MANAGEMENT | Property Disposal            | The activities involved in disposing of land and buildings which are no longer required through sale, transfer, termination of lease, auction, donation or demolition. | Activities include: obtaining valuations; undertaking surveys.  | Records documenting the disposal of properties by sale, transfer or donation.   | Yes | Article 6 S.1 (b), necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract.<br>Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject.<br>Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller.<br>[University Charter, S.3 (I) - To accept the transfer to the University of any property of whatever description and to enter into any agreement with respect thereto.] |  |  |
| ESTATE MANAGEMENT | Property Security Management | The activities involved in protecting land and buildings from accidental or intentional damage and in preventing unauthorised access.                                  | Activities include: conducting security inspections; conducting routine surveillance operations (e.g. guarding, patrol and CCTV surveillance) to prevent and detect unauthorised access; responding to, and investigating, security breaches or incidents.                                      | Records documenting the conduct and results of security inspections of properties, and action taken to address issues raised. | Yes | Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject.<br>Article 6 S.1 (d), necessary in order to protect the vital interests of the data subject or another natural person.<br>Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest.   |  |  |

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| ESTATE MANAGEMENT | Property Security Management | The activities involved in protecting land and buildings from accidental or intentional damage and in preventing unauthorised access. | Activities include: conducting security inspections; conducting routine surveillance operations (e.g. guarding, patrol and CCTV surveillance) to prevent and detect unauthorised access; responding to, and investigating, security breaches or incidents. | Records documenting property access controls to secure areas (e.g. access registers, key registers, security data logs). | Yes | Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject.<br>Article 6 S.1 (d), necessary in order to protect the vital interests of the data subject or another natural person.<br>Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest. |  |  |
| ESTATE MANAGEMENT | Property Security Management | The activities involved in protecting land and buildings from accidental or intentional damage and in preventing unauthorised access. | Activities include: conducting security inspections; conducting routine surveillance operations (e.g. guarding, patrol and CCTV surveillance) to prevent and detect unauthorised access; responding to, and investigating, security breaches or incidents. | Records of security passes issued to visitors  | Yes | Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject.<br>Article 6 S.1 (d), necessary in order to protect the vital interests of the data subject or another natural person.<br>Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest. |  |  |
| ESTATE MANAGEMENT | Property Security Management | The activities involved in protecting land and buildings from accidental or intentional damage and in preventing unauthorised access. | Activities include: conducting security inspections; conducting routine surveillance operations (e.g. guarding, patrol and CCTV surveillance) to prevent and detect unauthorised access; responding to, and investigating, security breaches or incidents. | Records of security passes issued to employees, other staff and students.  | Yes | Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject.<br>Article 6 S.1 (d), necessary in order to protect the vital interests of the data subject or another natural person.<br>Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest. |  |  |

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| ESTATE MANAGEMENT | Property Security Management | The activities involved in protecting land and buildings from accidental or intentional damage and in preventing unauthorised access. | Activities include: conducting security inspections; conducting routine surveillance operations (e.g. guarding, patrol and CCTV surveillance) to prevent and detect unauthorised access; responding to, and investigating, security breaches or incidents. | Records documenting the conduct of routine security surveillance of properties. | Yes | Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject.<br>Article 6 S.1 (d), necessary in order to protect the vital interests of the data subject or another natural person.<br>Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest.  |  |  |
| ESTATE MANAGEMENT | Property Security Management | The activities involved in protecting land and buildings from accidental or intentional damage and in preventing unauthorised access. | Activities include: conducting security inspections; conducting routine surveillance operations (e.g. guarding, patrol and CCTV surveillance) to prevent and detect unauthorised access; responding to, and investigating, security breaches or incidents. | Records documenting security breaches or incidents, and action taken.           | Yes | Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject.<br>Article 6 S.1 (d), necessary in order to protect the vital interests of the data subject or another natural person.<br>Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest.  |  |  |
| ESTATE MANAGEMENT | Property Leasing-out         | The activities involved in leasing land and buildings to third parties.   |  | Records documenting leasing-out arrangements for properties.                    | Yes | Article 6 S.1 (b), necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract.<br>Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject.<br>Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller.<br>[University Charter, S.3 (I) - To accept the transfer to the University of any property of whatever description and to enter into any agreement with respect thereto. |  |  |

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| <b>ESTATE MANAGEMENT</b>     | Space Management                | The activities involved in allocating space and in monitoring and reviewing space utilisation. | Activities include: conducting space audits; monitoring the utilisation of space, ensuring compliance with legislation.  | Records documenting the conduct and outcomes of space audits.  |  |  |  |  |
| <b>FACILITIES MANAGEMENT</b> |                                 | The function of managing the institution's facilities.   |  |  |  |  |  |  |
| <b>FACILITIES MANAGEMENT</b> | Facilities Strategy Development | The activities involved in developing and establishing the institution's facilities strategy.  | Activities include: identifying requirements for new/revised strategy; undertaking research; developing strategy proposals; consulting on strategy proposals; reviewing and revising strategy proposals in the light of comments received; drafting strategy documents; consulting on strategy documents; reviewing draft strategy documents in the light of comments received; producing final strategy documents; submitting final strategy documents for formal endorsement; formally endorsing strategy documents; disseminating | Records documenting the development and establishment of the institution's facilities strategy: key records. |  |  |  |  |

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|                              |                                    |  | strategy documents;<br>reviewing strategy.  |   |  |  |  |  |
| <b>FACILITIES MANAGEMENT</b> | Facilities Strategy<br>Development | The activities involved in<br>developing and establishing<br>the institution's facilities<br>strategy. | Activities include: identifying<br>requirements for<br>new/revised strategy;<br>undertaking research;<br>developing strategy<br>proposals; consulting on<br>strategy proposals;<br>reviewing and revising<br>strategy proposals in the<br>light of comments received;<br>drafting strategy<br>documents; consulting on<br>strategy documents;<br>reviewing draft strategy<br>documents in the light of<br>comments received;<br>producing final strategy<br>documents; submitting final<br>strategy documents for<br>formal endorsement;<br>formally endorsing strategy<br>documents; disseminating<br>strategy documents;<br>reviewing strategy. | Records documenting the<br>development and<br>establishment of the<br>institution's facilities<br>strategy: working papers. |  |  |  |  |

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| <b>FACILITIES MANAGEMENT</b> | Facilities Management Policy Development | The activities involved in developing and establishing the institution's policies on the management of its facilities. | Activities include: identifying requirements for new/revised policy; undertaking research; developing policy proposals; consulting on policy proposals; reviewing and revising policy proposals in the light of comments received; drafting policy documents; consulting on policy documents; reviewing draft policy documents in the light of comments received; producing final policy documents; submitting final policy documents for formal approval; formally approving policy documents; disseminating policy documents; reviewing policy. | Records documenting the development and establishment of the institution's facilities management policies: key records.    |  |  |  |  |
| <b>FACILITIES MANAGEMENT</b> | Facilities Management Policy Development | The activities involved in developing and establishing the institution's policies on the management of its facilities. | Activities include: identifying requirements for new/revised policy; undertaking research; developing policy proposals; consulting on policy proposals; reviewing and revising policy proposals in the light of comments received; drafting policy documents; consulting on policy documents; reviewing draft policy documents in the light of comments received; producing final policy documents; submitting final policy documents for formal approval; formally approving policy documents; disseminating policy documents; reviewing policy. | Records documenting the development and establishment of the institution's facilities management policies: working papers. |  |  |  |  |

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| <b>FACILITIES MANAGEMENT</b> | Facilities Management Procedure Development | The activities involved in developing and establishing the institution's procedures for the management of its facilities. | Activities include: identifying needs for new/revised procedure; undertaking research; analysing work processes; drafting procedure documents; consulting on procedure documents; reviewing draft procedure documents in the light of comments received; trialling procedure; refining procedure as a result of trials; submitting final procedure documents for formal approval; formally approving procedure documents; disseminating procedure documents; reviewing procedure. | Records documenting the development of the institution's procedures relating to facilities management. |  |  |  |  |
| <b>FACILITIES MANAGEMENT</b> | Facilities Management Procedure Development | The activities involved in developing and establishing the institution's procedures for the management of its facilities. | Activities include: identifying needs for new/revised procedure; undertaking research; analysing work processes; drafting procedure documents; consulting on procedure documents; reviewing draft procedure documents in the light of comments received; trialling procedure; refining procedure as a result of trials; submitting final procedure documents for formal approval; formally approving procedure documents; disseminating procedure documents; reviewing procedure. | Master copies of procedures relating to facilities management.   |  |  |  |  |
| <b>FACILITIES MANAGEMENT</b> | Facilities Development                      | The activities involved in developing new facilities and re-developing existing facilities.                               | Activities include: specifying requirements; preparing design schemes; obtaining permits for specific types of work; inspecting completed works and arranging external inspections to obtain necessary certifications. For indoor facilities, activities include: decorating; installing fixtures, fittings and furnishings. For outdoor facilities, activities include: groundwork; gardening; installing fixtures, fittings and furniture.                                      | Records documenting the specification of requirements for facilities.                                  |  |  |  |  |



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| <b>FACILITIES MANAGEMENT</b> | Facilities Development | The activities involved in developing new facilities and re-developing existing facilities. | <p>Activities include: specifying requirements; preparing design schemes; obtaining permits for specific types of work; inspecting completed works and arranging external inspections to obtain necessary certifications.</p> <p>For indoor facilities, activities include: decorating; installing fixtures, fittings and furnishings.</p> <p>For outdoor facilities, activities include: groundwork; gardening; installing fixtures, fittings and furniture.</p> | Records documenting the development of interior design and fit-out schemes.        |  |  |  |  |
| <b>FACILITIES MANAGEMENT</b> | Facilities Development | The activities involved in developing new facilities and re-developing existing facilities. | <p>Activities include: specifying requirements; preparing design schemes; obtaining permits for specific types of work; inspecting completed works and arranging external inspections to obtain necessary certifications.</p> <p>For indoor facilities, activities include: decorating; installing fixtures, fittings and furnishings.</p> <p>For outdoor facilities, activities include: groundwork; gardening; installing fixtures, fittings and furniture.</p> | Records documenting the carrying out of interior decoration and fitting-out works. |  |  |  |  |
| <b>FACILITIES MANAGEMENT</b> | Facilities Maintenance | The activities involved in maintaining facilities.  | Activities include: conducting inspections; establishing and implementing planned maintenance programmes; carrying out reactive maintenance.  | Records documenting routine inspections of facilities.                             |  |  |  |  |

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| <b>FACILITIES MANAGEMENT</b> | Facilities Maintenance         | The activities involved in maintaining facilities.  | Activities include:<br>conducting inspections;<br>establishing and implementing planned maintenance programmes;<br>carrying out reactive maintenance.   | Records documenting the carrying out of major maintenance works within facilities.  |     |  |  |  |
| <b>FACILITIES MANAGEMENT</b> | Facilities Maintenance         | The activities involved in maintaining facilities.  | Activities include:<br>conducting inspections;<br>establishing and implementing planned maintenance programmes;<br>carrying out reactive maintenance.   | Records documenting the carrying out of minor maintenance works within facilities.  |     |  |  |  |
| <b>FACILITIES MANAGEMENT</b> | Facilities Security Management | The activities involved in protecting facilities from accidental or intentional damage and in preventing unauthorised access. | Activities include:<br>conducting security inspections; conducting routine surveillance operations (e.g. guarding, patrol and CCTV surveillance) to prevent and detect unauthorised access; responding to, and investigating, security breaches or incidents. | Records documenting the conduct and outcomes of security inspections of facilities. | Yes | Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject.<br>Article 6 S.1 (d), necessary in order to protect the vital interests of the data subject or another natural person.<br>Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest. |  |  |

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| <b>FACILITIES MANAGEMENT</b> | Facilities Security Management   | The activities involved in protecting facilities from accidental or intentional damage and in preventing unauthorised access.  | Activities include: conducting security inspections; conducting routine surveillance operations (e.g. guarding, patrol and CCTV surveillance) to prevent and detect unauthorised access; responding to, and investigating, security breaches or incidents. | Records documenting the conduct of routine surveillance of facilities.                              | Yes | Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject.<br>Article 6 S.1 (d), necessary in order to protect the vital interests of the data subject or another natural person.<br>Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest. |  |  |
| <b>FACILITIES MANAGEMENT</b> | Facilities Security Management   | The activities involved in protecting facilities from accidental or intentional damage and in preventing unauthorised access.  | Activities include: conducting security inspections; conducting routine surveillance operations (e.g. guarding, patrol and CCTV surveillance) to prevent and detect unauthorised access; responding to, and investigating, security breaches or incidents. | Records documenting occurrences of unauthorised access to facilities, and action taken.             | Yes | Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject.<br>Article 6 S.1 (d), necessary in order to protect the vital interests of the data subject or another natural person.<br>Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest. |  |  |
| <b>FACILITIES MANAGEMENT</b> | Facilities Compliance Management | The activities involved in complying with legislative requirements relating to the management of specific types of facilities. | Activities include: enabling inspections by enforcing authorities; ensuring the proper maintenance of required licensing or certification.   | Records documenting the conduct and outcomes of inspections of facilities by enforcing authorities. |     |  |  |  |

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| <b>FACILITIES MANAGEMENT</b> | Facilities Compliance Management | The activities involved in complying with legislative requirements relating to the management of specific types of facilities. | Activities include: enabling inspections by enforcing authorities; ensuring the proper maintenance of required licensing or certification.   | Original licences and certificates  |  |  |  |  |
| <b>FINANCE MANAGEMENT</b>    |                                  | The function of managing the institution's financial resources.  |  |   |  |  |  |  |
| <b>FINANCE MANAGEMENT</b>    | Finance Strategy Development     | The activities involved in developing and establishing the institution's finance strategy.                                     | Activities include: identifying requirements for new/revised strategy; undertaking research; developing strategy proposals; consulting on strategy proposals; reviewing and revising strategy proposals in the light of comments received; drafting strategy documents; consulting on strategy documents; reviewing draft strategy documents in the light of comments received; producing final strategy documents; submitting final strategy documents for formal endorsement; formally endorsing strategy documents; disseminating strategy documents; reviewing strategy. | Records documenting the development and establishment of the institution's finance strategy: key records. |  |  |  |  |

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| <b>FINANCE MANAGEMENT</b> | Finance Strategy Development          | The activities involved in developing and establishing the institution's finance strategy.                                      | Activities include: identifying requirements for new/revised strategy; undertaking research; developing strategy proposals; consulting on strategy proposals; reviewing and revising strategy proposals in the light of comments received; drafting strategy documents; consulting on strategy documents; reviewing draft strategy documents in the light of comments received; producing final strategy documents; submitting final strategy documents for formal endorsement; formally endorsing strategy documents; disseminating strategy documents; reviewing strategy. | Records documenting the development and establishment of the institution's finance strategy: working papers.         |  |  |  |  |
| <b>FINANCE MANAGEMENT</b> | Finance Management Policy Development | The activities involved in developing and establishing the institution's policies on the management of its financial resources. | Activities include: identifying requirements for new/revised policy; undertaking research; developing policy proposals; consulting on policy proposals; reviewing and revising policy proposals in the light of comments received; drafting policy documents; consulting on policy documents; reviewing draft policy documents in the light of comments received; producing final policy documents; submitting final policy documents for formal approval; formally approving policy documents; disseminating policy documents; reviewing policy.                            | Records documenting the development and establishment of the institution's finance management policies: key records. |  |  |  |  |

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| <b>FINANCE MANAGEMENT</b> | Finance Management Policy Development    | The activities involved in developing and establishing the institution's policies on the management of its financial resources. | Activities include: identifying requirements for new/revised policy; undertaking research; developing policy proposals; consulting on policy proposals; reviewing and revising policy proposals in the light of comments received; drafting policy documents; consulting on policy documents; reviewing draft policy documents in the light of comments received; producing final policy documents; submitting final policy documents for formal approval; formally approving policy documents; disseminating policy documents; reviewing policy. | Records documenting the development and establishment of the institution's finance management policies: working papers. |  |  |  |  |
| <b>FINANCE MANAGEMENT</b> | Finance Management Procedure Development | The activities involved in developing the institution's procedures for the management of its financial resources.               | Activities include: identifying needs for new/revised procedure; undertaking research; analysing work processes; drafting procedure documents; consulting on procedure documents; reviewing draft procedure documents in the light of comments received; trialling procedure; refining procedure as a result of trials; submitting final procedure documents for formal approval; formally approving procedure documents; disseminating procedure documents; reviewing procedure.   | Records documenting the development of the institution's procedures relating to finance management.                     |  |  |  |  |
| <b>FINANCE MANAGEMENT</b> | Finance Management Procedure Development | The activities involved in developing the institution's procedures for the management of its financial resources.               | Activities include: identifying needs for new/revised procedure; undertaking research; analysing work processes; drafting procedure documents; consulting on procedure documents; reviewing draft procedure documents in the light of comments received; trialling procedure; refining procedure as a result of trials; submitting final procedure documents for formal approval; formally approving procedure documents; disseminating procedure documents; reviewing procedure.   | Master copies of procedures relating to finance management.   |  |  |  |  |

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| FINANCE MANAGEMENT | Financial Accounting | The activities involved in processing, recording, classifying and analysing financial transactions between the institution and third parties, and between the institution and its employees. | Activities include: accounting for income; accounting for expenditure; accounting for payments (other than salaries) to employees; accounting for payments to honorary appointees and other third parties. | Records documenting the issue of sales invoices and the processing of incoming payments. | Potentially | Article 6 S.1 (b), necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract.<br>Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject.<br>Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller.<br>[University Charter] |  |  |
| FINANCE MANAGEMENT | Financial Accounting | The activities involved in processing, recording, classifying and analysing financial transactions between the institution and third parties, and between the institution and its employees. | Activities include: accounting for income; accounting for expenditure; accounting for payments (other than salaries) to employees; accounting for payments to honorary appointees and other third parties. | Records documenting the receipt and payment of purchase invoices.                        | Potentially | Article 6 S.1 (b), necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract.<br>Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject.<br>Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller.<br>[University Charter] |  |  |
| FINANCE MANAGEMENT | Financial Accounting | The activities involved in processing, recording, classifying and analysing financial transactions between the institution and third parties, and between the institution and its employees. | Activities include: accounting for income; accounting for expenditure; accounting for payments (other than salaries) to employees; accounting for payments to honorary appointees and other third parties. | Records documenting the payment and/or reimbursement of employees' expenses.             | Potentially | Article 6 S.1 (b), necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract.<br>Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject.<br>Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller.<br>[University Charter] |  |  |

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| FINANCE MANAGEMENT | Financial Accounting | The activities involved in processing, recording, classifying and analysing financial transactions between the institution and third parties, and between the institution and its employees. | Activities include: accounting for income; accounting for expenditure; accounting for payments (other than salaries) to employees; accounting for payments to honorary appointees and other third parties. | Records documenting the payment of honoraria to third parties.*<br><br>*Unless honoraria are administered through the payroll. | Potentially | Article 6 S.1 (b), necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract.<br>Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject.<br>Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller.<br>[University Charter] |  |  |
| FINANCE MANAGEMENT | Financial Accounting | The activities involved in processing, recording, classifying and analysing financial transactions between the institution and third parties, and between the institution and its employees. | Activities include: accounting for income; accounting for expenditure; accounting for payments (other than salaries) to employees; accounting for payments to honorary appointees and other third parties. | Records documenting the payment of expenses to third parties (e.g. honorary appointees).                                       | Potentially | Article 6 S.1 (b), necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract.<br>Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject.<br>Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller.<br>[University Charter] |  |  |
| FINANCE MANAGEMENT | Financial Accounting | The activities involved in processing, recording, classifying and analysing financial transactions between the institution and third parties, and between the institution and its employees. | Activities include: accounting for income; accounting for expenditure; accounting for payments (other than salaries) to employees; accounting for payments to honorary appointees and other third parties. | Records documenting the handling of petty cash.  | Potentially | Article 6 S.1 (b), necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract.<br>Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject.<br>Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller.<br>[University Charter] |  |  |



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| <b>FINANCE MANAGEMENT</b> | Financial Accounting | The activities involved in processing, recording, classifying and analysing financial transactions between the institution and third parties, and between the institution and its employees. | Activities include: accounting for income; accounting for expenditure; accounting for payments (other than salaries) to employees; accounting for payments to honorary appointees and other third parties. | Records documenting the receipt and processing of tuition fees. | Potentially | Article 6 S.1 (b), necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract.<br>Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject.<br>Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller.<br>[University Charter] |  |  |
| <b>FINANCE MANAGEMENT</b> | Financial Accounting | The activities involved in processing, recording, classifying and analysing financial transactions between the institution and third parties, and between the institution and its employees. | Activities include: accounting for income; accounting for expenditure; accounting for payments (other than salaries) to employees; accounting for payments to honorary appointees and other third parties. | Records documenting the preparation of annual accounts          | Potentially | Article 6 S.1 (b), necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract.<br>Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject.<br>Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller.<br>[University Charter] |  |  |
| <b>FINANCE MANAGEMENT</b> | Financial Accounting | The activities involved in processing, recording, classifying and analysing financial transactions between the institution and third parties, and between the institution and its employees. | Activities include: accounting for income; accounting for expenditure; accounting for payments (other than salaries) to employees; accounting for payments to honorary appointees and other third parties. | Annual Accounts   | Potentially | Article 6 S.1 (b), necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract.<br>Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject.<br>Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller.<br>[University Charter] |  |  |

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| FINANCE MANAGEMENT | Management Accounting | The activities involved in monitoring and controlling the use of the institution's financial resources.              |  | Records documenting analyses of the internal deployment of the institution's financial resources.                    | Potentially | Article 6 S.1 (b), necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract. Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject. Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller. [University Charter] |  |  |
| FINANCE MANAGEMENT | Statutory Accounting  | The activities involved in preparing the institution's statutory accounts.   |  | Records documenting the preparation of the institution's statutory accounts.   | Potentially | Article 6 S.1 (b), necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract. Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject. Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller. [University Charter] |  |  |
| FINANCE MANAGEMENT | Internal Accounting   | The activities involved in processing financial transactions between operating units (i.e. internal cross-charging). |  | Records documenting the processing of internal accounting transactions between operating units (i.e. cross-charges). | Potentially | Article 6 S.1 (b), necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract. Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject. Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller. [University Charter] |  |  |

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| FINANCE MANAGEMENT | Internal Accounting | The activities involved in processing financial transactions between operating units (i.e. internal cross-charging). |  | Records documenting the negotiation and administration of formal contracts between operating units (e.g. for the provision of services.) | Potentially | Article 6 S.1 (b), necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract.<br>Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject.<br>Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller.<br>[University Charter] |  |  |
| FINANCE MANAGEMENT | Funding Management  | The activities involved in administering the institution's income.   | Activities include: acknowledging receipt of funds; monitoring the use of funds and ensuring compliance with terms and conditions of funding; preparing reports and other information on the use of funds for funding providers. | Records documenting the administration of annual funding allocations from the appropriate statutory funding body.                        |             |  |  |  |
| FINANCE MANAGEMENT | Funding Management  | The activities involved in administering the institution's income.   | Activities include: acknowledging receipt of funds; monitoring the use of funds and ensuring compliance with terms and conditions of funding; preparing reports and other information on the use of funds for funding providers. | Records documenting the administration of research grants provided by research councils or corporate sponsors.                           | Potentially | Article 6 S.1 (b), necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract.Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject.Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller.[University Charter]             |  |  |

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| <b>FINANCE MANAGEMENT</b> | Funding Management             | The activities involved in administering the institution's income.   | Activities include: acknowledging receipt of funds; monitoring the use of funds and ensuring compliance with terms and conditions of funding; preparing reports and other information on the use of funds for funding providers. | Records documenting the administration of funding from European Structural Funds. | Potentially | Article 6 S.1 (b), necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract.<br>Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject.<br>Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller.<br>[University Charter] |  |  |
| <b>FINANCE MANAGEMENT</b> | Funding Management             | The activities involved in administering the institution's income.   | Activities include: acknowledging receipt of funds; monitoring the use of funds and ensuring compliance with terms and conditions of funding; preparing reports and other information on the use of funds for funding providers. | Records documenting the administration of scholarship funds.                      | Yes         | Article 6 S.1 (b), necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract.<br>Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject.<br>Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller.<br>[University Charter] |  |  |
| <b>FINANCE MANAGEMENT</b> | Financial Planning & Budgeting | The activities involved in forecasting the institution's income, planning the utilisation of these resources and setting and managing budgets. | Activities include: setting budgets (at corporate level and for individual business units); monitoring actual against planned expenditure; virement.   | Records documenting the preparation of annual operating budgets.                  | Potentially | Article 6 S.1 (b), necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract.<br>Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject.<br>Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller.<br>[University Charter] |  |  |

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|---------------------------|--------------------------------|--|--|---|-------------|---|--|--|
| <b>FINANCE MANAGEMENT</b> | Financial Planning & Budgeting | The activities involved in forecasting the institution's income, planning the utilisation of these resources and setting and managing budgets. | Activities include: setting budgets (at corporate level and for individual business units); monitoring actual against planned expenditure; virement.   | Records documenting the monitoring of income and expenditure against annual operating budgets, and action taken to deal with variances. | Potentially | Article 6 S.1 (b), necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract.<br>Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject.<br>Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller.<br>[University Charter]                |  |  |
| <b>FINANCE MANAGEMENT</b> | Payroll Administration         | The activities involved in administering the institution's employee payroll.   | Activities include: processing statutory payroll deductions; authorising and processing non-statutory and elective payroll deductions; transferring payroll payments; notifying employees of their employment-related tax liabilities. | Records documenting employees' authorisation for non-statutory payroll deductions.  | Yes         | Article 6 S.1 (a), consnet.Article 6 S.1 (b), necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract.Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject.Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller.[University Charter] |  |  |
| <b>FINANCE MANAGEMENT</b> | Payroll Administration         | The activities involved in administering the institution's employee payroll.   | Activities include: processing statutory payroll deductions; authorising and processing non-statutory and elective payroll deductions; transferring payroll payments; notifying employees of their employment-related tax liabilities. | Records documenting calculation and payment of employees' salaries and other payments.  | Yes         | Article 6 S.1 (b), necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract.<br>Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject.<br>Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller.<br>[University Charter]                |  |  |

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| FINANCE MANAGEMENT | Payroll Administration | The activities involved in administering the institution's employee payroll. | Activities include: processing statutory payroll deductions; authorising and processing non-statutory and elective payroll deductions; transferring payroll payments; notifying employees of their employment-related tax liabilities. | Employer's PAYE records which are not required to be sent to the Inland Revenue (under the provisions of the Income Tax (Pay As You Earn) Regulations 2003. | Yes | Article 6 S.1 (b), necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract.<br>Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject.<br>Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller.<br>[University Charter] |  |  |
| FINANCE MANAGEMENT | Payroll Administration | The activities involved in administering the institution's employee payroll. | Activities include: processing statutory payroll deductions; authorising and processing non-statutory and elective payroll deductions; transferring payroll payments; notifying employees of their employment-related tax liabilities. | Records documenting the administration of payments made under the Statutory Sick Pay scheme.  | Yes | Article 6 S.1 (b), necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract.<br>Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject.<br>Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller.<br>[University Charter] |  |  |
| FINANCE MANAGEMENT | Payroll Administration | The activities involved in administering the institution's employee payroll. | Activities include: processing statutory payroll deductions; authorising and processing non-statutory and elective payroll deductions; transferring payroll payments; notifying employees of their employment-related tax liabilities. | Records documenting the administration of payments made under the Statutory Maternity Pay scheme.   | Yes | Article 6 S.1 (b), necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract.<br>Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject.<br>Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller.<br>[University Charter] |  |  |

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| FINANCE MANAGEMENT | Pension Contributions Administration | The activities involved in administering payments of the institution's employers' and employees' contributions to pension schemes. |   | Records documenting payments of the institution's employers' contributions to pensions schemes for its employees. | Yes | Article 6 S.1 (b), necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract.Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject.Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller.[University Charter]    |  |  |
| FINANCE MANAGEMENT | Pension Contributions Administration | The activities involved in administering payments of the institution's employers' and employees' contributions to pension schemes. |   | Records documenting payments of the institution's employees' contributions to pension schemes.                    | Yes | Article 6 S.1 (b), necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract. Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject. Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller. [University Charter] |  |  |
| FINANCE MANAGEMENT | Tax Management                       | The activities involved in managing the institution's tax affairs.   | Activities include: preparing and filing tax returns; managing the institution's obligations for collecting and paying VAT on goods and services. | Records documenting the preparation and filing of the institution's tax returns.                                  | Yes | Article 6 S.1 (b), necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract. Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject. Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller. [University Charter] |  |  |

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| FINANCE MANAGEMENT | Tax Management  | The activities involved in managing the institution's tax affairs.   | Activities include: preparing and filing tax returns; managing the institution's obligations for collecting and paying VAT on goods and services. | Records documenting the institution's accounting for VAT.                             | Yes         | Article 6 S.1 (b), necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract.<br>Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject.<br>Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller.<br>[University Charter] |  |  |
| FINANCE MANAGEMENT | Cash Management | The activities involved in managing the institution's liquid assets. |   | Records documenting the opening, closure and routine administration of bank accounts. | Potentially | Article 6 S.1 (b), necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract.<br>Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject.<br>Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller.<br>[University Charter] |  |  |
| FINANCE MANAGEMENT | Cash Management | The activities involved in managing the institution's liquid assets. |   | Records documenting standing orders, direct debits etc.                               | Potentially | Article 6 S.1 (b), necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract.Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject.Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller.[University Charter]             |  |  |



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| FINANCE MANAGEMENT | Cash Management       | The activities involved in managing the institution's liquid assets.                  |  | Records documenting routine bank account deposits/withdrawals/transfers (paying-in slips, transfer instructions, bank statements etc.) | Potentially | Article 6 S.1 (b), necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract.<br>Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject.<br>Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller.<br>[University Charter] |  |  |
| FINANCE MANAGEMENT | Investment Management | The activities involved in managing the institution's financial investment portfolio. | Activities include: liaising with fund managers. | Records documenting the overall management of the institution's financial investment portfolio.  |             |  |  |  |
| FINANCE MANAGEMENT | Investment Management | The activities involved in managing the institution's financial investment portfolio. | Activities include: liaising with fund managers. | Records documenting the purchase/sale of investments.  |             |  |  |  |

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| FINANCE MANAGEMENT         | Asset Management | The activities involved in collecting, recording and analysing information about the value of the institution's fixed assets for accounting purposes. | Activities include: recording acquisition and disposal of fixed assets; valuing assets and calculating depreciation; writing off assets prior to disposal; maintaining an asset register. | Records documenting the value of the institution's capital assets.               |  |  |  |  |
| FINANCE MANAGEMENT         | Asset Management | The activities involved in collecting, recording and analysing information about the value of the institution's fixed assets for accounting purposes. | Activities include: recording acquisition and disposal of fixed assets; valuing assets and calculating depreciation; writing off assets prior to disposal; maintaining an asset register. | Records documenting decisions (and authorisations) to dispose of capital assets. |  |  |  |  |
| HUMAN RESOURCES MANAGEMENT |                  | The function of managing the institution's workforce and its contractual relationship with individual employees.                                      |   |  |  |  |  |  |

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| <b>HUMAN RESOURCES<br/>MANAGEMENT</b> | Human Resources Strategy<br>Development | The activities involved in<br>developing and establishing<br>the institution's human<br>resources strategy. | Activities include: identifying<br>requirements for<br>new/revised strategy;<br>undertaking research;<br>developing strategy<br>proposals; consulting on<br>strategy proposals;<br>reviewing and revising<br>strategy proposals in the<br>light of comments received;<br>drafting strategy<br>documents; consulting on<br>strategy documents;<br>reviewing draft strategy<br>documents in the light of<br>comments received;<br>producing final strategy<br>documents; submitting final<br>strategy documents for<br>formal endorsement;<br>formally endorsing strategy<br>documents; disseminating<br>strategy documents;<br>reviewing strategy. | Records documenting the<br>development and<br>establishment of the<br>institution's human<br>resources strategy: key<br>records.    |  |  |  |  |
| <b>HUMAN RESOURCES<br/>MANAGEMENT</b> | Human Resources Strategy<br>Development | The activities involved in<br>developing and establishing<br>the institution's human<br>resources strategy. | Activities include: identifying<br>requirements for<br>new/revised strategy;<br>undertaking research;<br>developing strategy<br>proposals; consulting on<br>strategy proposals;<br>reviewing and revising<br>strategy proposals in the<br>light of comments received;<br>drafting strategy<br>documents; consulting on<br>strategy documents;<br>reviewing draft strategy<br>documents in the light of<br>comments received;<br>producing final strategy<br>documents; submitting final<br>strategy documents for<br>formal endorsement;<br>formally endorsing strategy<br>documents; disseminating<br>strategy documents;<br>reviewing strategy. | Records documenting the<br>development and<br>establishment of the<br>institution's human<br>resources strategy: working<br>papers. |  |  |  |  |

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| <b>HUMAN RESOURCES<br/>MANAGEMENT</b> | Human Resources<br>Management Policy<br>Development | The activities involved in<br>developing and establishing<br>the institution's policies on<br>the management of its<br>human resources. | Activities include: identifying<br>requirements for<br>new/revised policy;<br>undertaking research;<br>developing policy proposals;<br>consulting on policy<br>proposals; reviewing and<br>revising policy proposals in<br>the light of comments<br>received; drafting policy<br>documents; consulting on<br>policy documents; reviewing<br>draft policy documents in<br>the light of comments<br>received; producing final<br>policy documents;<br>submitting final policy<br>documents for formal<br>approval; formally<br>approving policy<br>documents; disseminating<br>policy documents; reviewing<br>policy. | Records documenting the<br>development and<br>establishment of the<br>institution's human<br>resources management<br>policies: key records.    |  |  |  |  |
| <b>HUMAN RESOURCES<br/>MANAGEMENT</b> | Human Resources<br>Management Policy<br>Development | The activities involved in<br>developing and establishing<br>the institution's policies on<br>the management of its<br>human resources. | Activities include: identifying<br>requirements for<br>new/revised policy;<br>undertaking research;<br>developing policy proposals;<br>consulting on policy<br>proposals; reviewing and<br>revising policy proposals in<br>the light of comments<br>received; drafting policy<br>documents; consulting on<br>policy documents; reviewing<br>draft policy documents in<br>the light of comments<br>received; producing final<br>policy documents;<br>submitting final policy<br>documents for formal<br>approval; formally<br>approving policy<br>documents; disseminating<br>policy documents; reviewing<br>policy. | Records documenting the<br>development and<br>establishment of the<br>institution's human<br>resources management<br>policies: working papers. |  |  |  |  |

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| <b>HUMAN RESOURCES MANAGEMENT</b> | Human Resources Management Procedure Development | The activities involved in developing the institution's procedures for the management of its human resources.  | Activities include: identifying needs for new/revised procedure; undertaking research; analysing work processes; drafting procedure documents; consulting on procedure documents; reviewing draft procedure documents in the light of comments received; trialling procedure; refining procedure as a result of trials; submitting final procedure documents for formal approval; formally approving procedure documents; disseminating procedure documents; reviewing procedure. | Records documenting the development of the institution's procedures relating to human resources management.   |  |  |  |  |
| <b>HUMAN RESOURCES MANAGEMENT</b> | Human Resources Management Procedure Development | The activities involved in developing the institution's procedures for the management of its human resources.  | Activities include: identifying needs for new/revised procedure; undertaking research; analysing work processes; drafting procedure documents; consulting on procedure documents; reviewing draft procedure documents in the light of comments received; trialling procedure; refining procedure as a result of trials; submitting final procedure documents for formal approval; formally approving procedure documents; disseminating procedure documents; reviewing procedure. | Master copies of procedures relating to human resources management.   |  |  |  |  |
| <b>HUMAN RESOURCES MANAGEMENT</b> | Workforce Planning                               | The activities involved in identifying the workforce competencies and numbers required to implement the institution's strategic plan and determining how to meet these requirements. | Activities include: analysing the size, composition, structure and competencies of the institution's workforce; reporting on the composition of the institution's workforce to regulators; developing role (job) descriptions and conducting role evaluations to assign roles to grades/bands in a salary structure (NOTE 1).   | Records documenting the assessment and analysis of workforce requirements, and the identification and evaluation of options for meeting these requirements. |  |  |  |  |

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| <b>HUMAN RESOURCES MANAGEMENT</b> | Workforce Planning    | The activities involved in identifying the workforce competencies and numbers required to implement the institution's strategic plan and determining how to meet these requirements. | Activities include: analysing the size, composition, structure and competencies of the institution's workforce; reporting on the composition of the institution's workforce to regulators; developing role (job) descriptions and conducting role evaluations to assign roles to grades/bands in a salary structure (NOTE 1). | Records documenting management succession plans.                          | Potentially | Article 6 S.1 (b), necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract.<br>Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject.<br>Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller.<br>[University Charter] |  |  |
| <b>HUMAN RESOURCES MANAGEMENT</b> | Workforce Planning    | The activities involved in identifying the workforce competencies and numbers required to implement the institution's strategic plan and determining how to meet these requirements. | Activities include: analysing the size, composition, structure and competencies of the institution's workforce; reporting on the composition of the institution's workforce to regulators; developing role (job) descriptions and conducting role evaluations to assign roles to grades/bands in a salary structure (NOTE 1). | Records documenting the development and evaluation of job specifications. |             |  |  |  |
| <b>HUMAN RESOURCES MANAGEMENT</b> | Workforce Recruitment | The activities involved in recruiting employees to fill vacant positions.  | Activities include: authorising recruitment; advertising vacancies; handling enquiries about vacancies; processing employment applications; reviewing and responding to unsolicited applications for employment.  | Records documenting internal authorisation for recruitment.               |             |  |  |  |

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| <b>HUMAN RESOURCES MANAGEMENT</b> | Workforce Recruitment | The activities involved in recruiting employees to fill new or vacant positions. | Activities include: authorising recruitment; advertising vacancies; handling enquiries about vacancies; processing employment applications; reviewing and responding to unsolicited applications for employment. | Records documenting the advertising of vacancies.  | Yes | Article 6 S.1 (b), necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract.<br>Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject.<br>Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller.<br>[University Charter] |  |  |
| <b>HUMAN RESOURCES MANAGEMENT</b> | Workforce Recruitment | The activities involved in recruiting employees to fill new or vacant positions. | Activities include: authorising recruitment; advertising vacancies; handling enquiries about vacancies; processing employment applications; reviewing and responding to unsolicited applications for employment. | Records documenting enquiries about vacancies and requests for application forms.          | Yes | Article 6 S.1 (b), necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract.<br>Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject.<br>Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller.<br>[University Charter] |  |  |
| <b>HUMAN RESOURCES MANAGEMENT</b> | Workforce Recruitment | The activities involved in recruiting employees to fill new or vacant positions. | Activities include: authorising recruitment; advertising vacancies; handling enquiries about vacancies; processing employment applications; reviewing and responding to unsolicited applications for employment. | Records documenting the handling of applications for vacancies: unsuccessful applications. | Yes | Article 6 S.1 (b), necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract.<br>Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject.<br>Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller.<br>[University Charter] |  |  |

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| <b>HUMAN RESOURCES MANAGEMENT</b> | Workforce Recruitment | The activities involved in recruiting employees to fill new or vacant positions. | Activities include: authorising recruitment; advertising vacancies; handling enquiries about vacancies; processing employment applications; reviewing and responding to unsolicited applications for employment. | Records documenting the handling of applications for vacancies: successful applications.           | Yes | Article 6 S.1 (b), necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract.<br>Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject.<br>Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller.<br>[University Charter] |  |  |
| <b>HUMAN RESOURCES MANAGEMENT</b> | Workforce Recruitment | The activities involved in recruiting employees to fill new or vacant positions. | Activities include: authorising recruitment; advertising vacancies; handling enquiries about vacancies; processing employment applications; reviewing and responding to unsolicited applications for employment. | Records containing management analyses of recruitment effectiveness e.g. use of advertising media. |     |  |  |  |
| <b>HUMAN RESOURCES MANAGEMENT</b> | Workforce Recruitment | The activities involved in recruiting employees to fill new or vacant positions. | Activities include: authorising recruitment; advertising vacancies; handling enquiries about vacancies; processing employment applications; reviewing and responding to unsolicited applications for employment. | Records documenting the handling of unsolicited applications for employment.                       | Yes | Article 6 S.1 (b), necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract.Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject.Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller.[University Charter]             |  |  |



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| <b>HUMAN RESOURCES<br/>MANAGEMENT</b> | Workforce Induction              | The activities involved in developing and implementing induction programmes for new employees. | Activities include: developing general and role-specific induction programmes; administering induction programmes to ensure that all new employees complete the required programme.   | Records documenting the development, overall delivery and assessment of induction programmes for new employees.<br><br>For records documenting individual employees' induction programmes, see Employee Contract Management. |  |  |  |  |
| <b>HUMAN RESOURCES<br/>MANAGEMENT</b> | Workforce Induction              | The activities involved in developing and implementing induction programmes for new employees. | Activities include: developing general and role-specific induction programmes; administering induction programmes to ensure that all new employees complete the required programme.   | Records documenting the administration of induction programmes.  |  |  |  |  |
| <b>HUMAN RESOURCES<br/>MANAGEMENT</b> | Workforce Training & Development | The activities involved in providing training and development opportunities for employees.     | Activities include: identifying and analysing training and development needs; identifying and evaluating ways of meeting these needs; developing/selecting training and development programmes; monitoring take-up of training and development programmes; collecting and analysing feedback on training and development programmes; measuring the impact of training and development programmes. | Records containing summary information on workforce training and development needs.<br><br>For records documenting individual employees' training and development needs, see Employee Contract Management.                   |  |  |  |  |

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| <b>HUMAN RESOURCES MANAGEMENT</b> | Workforce Training & Development | The activities involved in providing training and development opportunities for employees. | Activities include: identifying and analysing training and development needs; identifying and evaluating ways of meeting these needs; developing/selecting training and development programmes; monitoring take-up of training and development programmes; collecting and analysing feedback on training and development programmes; measuring the impact of training and development programmes. | Records documenting the development of training and development programmes to meet defined needs. |     |  |  |  |
| <b>HUMAN RESOURCES MANAGEMENT</b> | Workforce Training & Development | The activities involved in providing training and development opportunities for employees. | Activities include: identifying and analysing training and development needs; identifying and evaluating ways of meeting these needs; developing/selecting training and development programmes; monitoring take-up of training and development programmes; collecting and analysing feedback on training and development programmes; measuring the impact of training and development programmes. | Records containing individual feedback on training and development programmes.                    | Yes | Article 6 S.1 (b), necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract.<br>Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject.<br>Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller.<br>[University Charter] |  |  |
| <b>HUMAN RESOURCES MANAGEMENT</b> | Workforce Training & Development | The activities involved in providing training and development opportunities for employees. | Activities include: identifying and analysing training and development needs; identifying and evaluating ways of meeting these needs; developing/selecting training and development programmes; monitoring take-up of training and development programmes; collecting and analysing feedback on training and development programmes; measuring the impact of training and development programmes. | Records documenting (anonymised) workforce feedback on training and development programmes.       |     |  |  |  |

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| <b>HUMAN RESOURCES<br/>MANAGEMENT</b> | Workforce Training & Development | The activities involved in providing training and development opportunities for employees. | Activities include: identifying and analysing training and development needs; identifying and evaluating ways of meeting these needs; developing/selecting training and development programmes; monitoring take-up of training and development programmes; collecting and analysing feedback on training and development programmes; measuring the impact of training and development programmes. | Records documenting management analyses of the impact of training and development programmes. |  |  |  |  |
| <b>HUMAN RESOURCES<br/>MANAGEMENT</b> | Workforce Performance Management | The activities involved in monitoring employee performance.                                | Activities include: designing methods of measuring performances; conducting and analysing performance assessments.  | Records documenting the development of workforce performance assessment systems.              |  |  |  |  |
| <b>HUMAN RESOURCES<br/>MANAGEMENT</b> | Workforce Performance Management | The activities involved in monitoring employee performance.                                | Activities include: designing methods of measuring performances; conducting and analysing performance assessments.  | Records containing summary (anonymised) results of employees' performance assessments.        |  |  |  |  |

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| <b>HUMAN RESOURCES<br/>MANAGEMENT</b> | Workforce Performance<br>Management           | The activities involved in<br>monitoring employee<br>performance.   | Activities include: designing<br>methods of measuring<br>performances; conducting<br>and analysing performance<br>assessments. | Records documenting<br>management analyses of the<br>impact of workforce<br>performance assessment<br>systems. |  |  |  |  |
| <b>HUMAN RESOURCES<br/>MANAGEMENT</b> | Workforce Remuneration &<br>Reward Management | The activities involved in<br>developing and<br>implementing workforce pay<br>structures and reward<br>schemes. |  | Records documenting the<br>development of the<br>institution's remuneration<br>structure.                      |  |  |  |  |
| <b>HUMAN RESOURCES<br/>MANAGEMENT</b> | Workforce Remuneration &<br>Reward Management | The activities involved in<br>developing and<br>implementing workforce pay<br>structures and reward<br>schemes. |  | Records documenting pay<br>reviews.  |  |  |  |  |

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| <b>HUMAN RESOURCES MANAGEMENT</b> | Workforce Remuneration & Reward Management | The activities involved in developing and implementing workforce pay structures and reward schemes. |  | Records documenting special reward schemes (e.g. Merit Reviews).   | Yes | Article 6 S.1 (b), necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract.<br>Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject.<br>Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller.<br>[University Charter] |     |   |
| <b>HUMAN RESOURCES MANAGEMENT</b> | Workforce Welfare Management               | The activities involved in monitoring employee welfare and ensuring compliance with legislation.    |  | Records documenting the hours worked by employees, including those who have agreed to work more than 48 hours a week, as required by the Working Time Regulations 1998 (SI 1998/1833). | Yes | Article 6 S.1 (b), necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract.<br>Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject.<br>Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller.<br>[University Charter] |     |   |
| <b>HUMAN RESOURCES MANAGEMENT</b> | Workforce Welfare Management               | The activities involved in monitoring employee welfare and ensuring compliance with legislation.    |  | Records documenting health assessments for night workers, and the results of assessments, as required by the Working Time Regulations 1998 (SI 1998/1833).                             | Yes | Article 6 S.1 (b), necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract.<br>Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject.<br>Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller.<br>[University Charter] | Yes | Article 9 S.2 (b), necessary for the purposes of carrying out the obligations and exercising specific rights of the controller or of the data subject in the field of employment and social security and social protection law in so far as it is authorised by Union or Member State law or a collective agreement pursuant to Member State law providing for appropriate safeguards for the fundamental rights and the interests of the data subject. |

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| <b>HUMAN RESOURCES MANAGEMENT</b> | Workforce Relations Management | The activities involved in managing the institution's relationship with its workforce. | Activities include: developing and implementing mechanisms for communicating with, and consulting, the workforce; conducting workforce surveys and reviewing and responding to the results. | Records documenting the design of workforce surveys and consultations.                         |     |  |  |  |
| <b>HUMAN RESOURCES MANAGEMENT</b> | Workforce Relations Management | The activities involved in managing the institution's relationship with its workforce. | Activities include: developing and implementing mechanisms for communicating with, and consulting, the workforce; conducting workforce surveys and reviewing and responding to the results. | Records containing (identifiable) individual responses to workforce surveys and consultations. | Yes | Article 6 S.1 (b), necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract.<br>Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject.<br>Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller.<br>[University Charter] |  |  |
| <b>HUMAN RESOURCES MANAGEMENT</b> | Workforce Relations Management | The activities involved in managing the institution's relationship with its workforce. | Activities include: developing and implementing mechanisms for communicating with, and consulting, the workforce; conducting workforce surveys and reviewing and responding to the results. | Records containing summary (anonymised) results of workforce surveys and consultations.        |     |  |  |  |

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| <b>HUMAN RESOURCES MANAGEMENT</b> | Workforce Relations Management | The activities involved in managing the institution's relationship with its workforce.                     | Activities include: developing and implementing mechanisms for communicating with, and consulting, the workforce; conducting workforce surveys and reviewing and responding to the results.   | Records documenting grievances raised by staff (which do not relate directly to their own contracts of employment), the institution's response, action taken and the outcome.                        |     |  |  |  |
| <b>HUMAN RESOURCES MANAGEMENT</b> | Employee Contract Management   | The activities involved in managing the institution's contractual relationships with individual employees. | Activities include: maintaining complete and accurate records of individual employees' recruitment, induction, performance, discipline, training and development, occupational health and welfare, leave, pensions and termination; providing employment references for current and former employees. | Records documenting the employee's initial application for employment with the institution and supporting documentation supplied by third parties (e.g. references, Criminal Records Bureau checks). | Yes | Article 6 S.1 (b), necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract.<br>Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject.<br>Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller.<br>[University Charter] |  |  |
| <b>HUMAN RESOURCES MANAGEMENT</b> | Employee Contract Management   | The activities involved in managing the institution's contractual relationships with individual employees. | Activities include: maintaining complete and accurate records of individual employees' recruitment, induction, performance, discipline, training and development, occupational health and welfare, leave, pensions and termination; providing employment references for current and former employees. | Records documenting the employee's subsequent applications for other jobs within the institution.  | Yes | Article 6 S.1 (b), necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract.<br>Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject.<br>Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller.<br>[University Charter] |  |  |

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| <b>HUMAN RESOURCES MANAGEMENT</b> | Employee Contract Management | The activities involved in managing the institution's contractual relationships with individual employees. | Activities include: maintaining complete and accurate records of individual employees' recruitment, induction, performance, discipline, training and development, occupational health and welfare, leave, pensions and termination; providing employment references for current and former employees. | Records documenting the employee's contract(s) of employment with the institution.                 | Yes | Article 6 S.1 (b), necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract.<br>Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject.<br>Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller.<br>[University Charter] |  |  |
| <b>HUMAN RESOURCES MANAGEMENT</b> | Employee Contract Management | The activities involved in managing the institution's contractual relationships with individual employees. | Activities include: maintaining complete and accurate records of individual employees' recruitment, induction, performance, discipline, training and development, occupational health and welfare, leave, pensions and termination; providing employment references for current and former employees. | Records documenting changes to the employee's terms and conditions of employment.                  | Yes | Article 6 S.1 (b), necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract.<br>Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject.<br>Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller.<br>[University Charter] |  |  |
| <b>HUMAN RESOURCES MANAGEMENT</b> | Employee Contract Management | The activities involved in managing the institution's contractual relationships with individual employees. | Activities include: maintaining complete and accurate records of individual employees' recruitment, induction, performance, discipline, training and development, occupational health and welfare, leave, pensions and termination; providing employment references for current and former employees. | Records documenting the job descriptions of positions held by the employee within the institution. | Yes | Article 6 S.1 (b), necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract.<br>Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject.<br>Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller.<br>[University Charter] |  |  |



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| <b>HUMAN RESOURCES MANAGEMENT</b> | Employee Contract Management | The activities involved in managing the institution's contractual relationships with individual employees. | Activities include: maintaining complete and accurate records of individual employees' recruitment, induction, performance, discipline, training and development, occupational health and welfare, leave, pensions and termination; providing employment references for current and former employees. | Records documenting induction programmes attended by the employee.  | Yes | Article 6 S.1 (b), necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract.<br>Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject.<br>Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller.<br>[University Charter] |  |  |
| <b>HUMAN RESOURCES MANAGEMENT</b> | Employee Contract Management | The activities involved in managing the institution's contractual relationships with individual employees. | Activities include: maintaining complete and accurate records of individual employees' recruitment, induction, performance, discipline, training and development, occupational health and welfare, leave, pensions and termination; providing employment references for current and former employees. | Records documenting the employee's training and development needs, and the action taken to meet these needs.  | Yes | Article 6 S.1 (b), necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract.<br>Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject.<br>Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller.<br>[University Charter] |  |  |
| <b>HUMAN RESOURCES MANAGEMENT</b> | Employee Contract Management | The activities involved in managing the institution's contractual relationships with individual employees. | Activities include: maintaining complete and accurate records of individual employees' recruitment, induction, performance, discipline, training and development, occupational health and welfare, leave, pensions and termination; providing employment references for current and former employees. | Records documenting job-specific statutory/regulatory training requirements for the employee, and the training provided to meet these requirements. | Yes | Article 6 S.1 (b), necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract.<br>Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject.<br>Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller.<br>[University Charter] |  |  |

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| <b>HUMAN RESOURCES MANAGEMENT</b> | Employee Contract Management | The activities involved in managing the institution's contractual relationships with individual employees. | Activities include: maintaining complete and accurate records of individual employees' recruitment, induction, performance, discipline, training and development, occupational health and welfare, leave, pensions and termination; providing employment references for current and former employees. | Records documenting routine assessments/reviews of the employee's performance, and any consequent action taken.  | Yes | Article 6 S.1 (b), necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract.<br>Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject.<br>Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller.<br>[University Charter] |  |  |
| <b>HUMAN RESOURCES MANAGEMENT</b> | Employee Contract Management | The activities involved in managing the institution's contractual relationships with individual employees. | Activities include: maintaining complete and accurate records of individual employees' recruitment, induction, performance, discipline, training and development, occupational health and welfare, leave, pensions and termination; providing employment references for current and former employees. | Records documenting disciplinary proceedings against the employee, where employment continues.   | Yes | Article 6 S.1 (b), necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract.<br>Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject.<br>Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller.<br>[University Charter] |  |  |
| <b>HUMAN RESOURCES MANAGEMENT</b> | Employee Contract Management | The activities involved in managing the institution's contractual relationships with individual employees. | Activities include: maintaining complete and accurate records of individual employees' recruitment, induction, performance, discipline, training and development, occupational health and welfare, leave, pensions and termination; providing employment references for current and former employees. | Records documenting grievances raised by the employee which relate directly to his/her own contract of employment, the institution's response, action taken and the outcome. | Yes | Article 6 S.1 (b), necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract.<br>Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject.<br>Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller.<br>[University Charter] |  |  |

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| <b>HUMAN RESOURCES MANAGEMENT</b> | Employee Contract Management | The activities involved in managing the institution's contractual relationships with individual employees. | Activities include: maintaining complete and accurate records of individual employees' recruitment, induction, performance, discipline, training and development, occupational health and welfare, leave, pensions and termination; providing employment references for current and former employees. | Records documenting the employee's remuneration and rewards (e.g. bonuses, merit awards, long service awards). | Yes | Article 6 S.1 (b), necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract.<br>Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject.<br>Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller.<br>[University Charter] |     |   |
| <b>HUMAN RESOURCES MANAGEMENT</b> | Employee Contract Management | The activities involved in managing the institution's contractual relationships with individual employees. | Activities include: maintaining complete and accurate records of individual employees' recruitment, induction, performance, discipline, training and development, occupational health and welfare, leave, pensions and termination; providing employment references for current and former employees. | Records relating to the administration of the employee's contractual holiday entitlement.                      | Yes | Article 6 S.1 (b), necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract.<br>Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject.<br>Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller.<br>[University Charter] |     |   |
| <b>HUMAN RESOURCES MANAGEMENT</b> | Employee Contract Management | The activities involved in managing the institution's contractual relationships with individual employees. | Activities include: maintaining complete and accurate records of individual employees' recruitment, induction, performance, discipline, training and development, occupational health and welfare, leave, pensions and termination; providing employment references for current and former employees. | Records documenting the employee's absence due to sickness.  | Yes | Article 6 S.1 (b), necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract.<br>Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject.<br>Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller.<br>[University Charter] | Yes | Article 9 S.2 (b), necessary for the purposes of carrying out the obligations and exercising specific rights of the controller or of the data subject in the field of employment and social security and social protection law in so far as it is authorised by Union or Member State law or a collective agreement pursuant to Member State law providing for appropriate safeguards for the fundamental rights and the interests of the data subject. |

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| <b>HUMAN RESOURCES MANAGEMENT</b> | Employee Contract Management | The activities involved in managing the institution's contractual relationships with individual employees. | Activities include: maintaining complete and accurate records of individual employees' recruitment, induction, performance, discipline, training and development, occupational health and welfare, leave, pensions and termination; providing employment references for current and former employees. | Records documenting the authorisation and administration of special leave, e.g. compassionate leave, study leave. | Yes | Article 6 S.1 (b), necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract.Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject.Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller.[University Charter]    | Potentially | Article 9 S.2 (b), necessary for the purposes of carrying out the obligations and exercising specific rights of the controller or of the data subject in the field of employment and social security and social protection law in so far as it is authorised by Union or Member State law or a collective agreement pursuant to Member State law providing for appropriate safeguards for the fundamental rights and the interests of the data subject. |
| <b>HUMAN RESOURCES MANAGEMENT</b> | Employee Contract Management | The activities involved in managing the institution's contractual relationships with individual employees. | Activities include: maintaining complete and accurate records of individual employees' recruitment, induction, performance, discipline, training and development, occupational health and welfare, leave, pensions and termination; providing employment references for current and former employees. | Records documenting the authorisation and administration of statutory leave entitlements, e.g. parental leave.    | Yes | Article 6 S.1 (b), necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract. Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject. Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller. [University Charter] | Yes         | Article 9 S.2 (b), necessary for the purposes of carrying out the obligations and exercising specific rights of the controller or of the data subject in the field of employment and social security and social protection law in so far as it is authorised by Union or Member State law or a collective agreement pursuant to Member State law providing for appropriate safeguards for the fundamental rights and the interests of the data subject. |
| <b>HUMAN RESOURCES MANAGEMENT</b> | Employee Contract Management | The activities involved in managing the institution's contractual relationships with individual employees. | Activities include: maintaining complete and accurate records of individual employees' recruitment, induction, performance, discipline, training and development, occupational health and welfare, leave, pensions and termination; providing employment references for current and former employees. | Records documenting entitlements to, and calculations of, Statutory Maternity Pay.                                | Yes | Article 6 S.1 (b), necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract. Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject. Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller. [University Charter] | Yes         | Article 9 S.2 (b), necessary for the purposes of carrying out the obligations and exercising specific rights of the controller or of the data subject in the field of employment and social security and social protection law in so far as it is authorised by Union or Member State law or a collective agreement pursuant to Member State law providing for appropriate safeguards for the fundamental rights and the interests of the data subject. |

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| <b>HUMAN RESOURCES MANAGEMENT</b> | Employee Contract Management | The activities involved in managing the institution's contractual relationships with individual employees. | Activities include: maintaining complete and accurate records of individual employees' recruitment, induction, performance, discipline, training and development, occupational health and welfare, leave, pensions and termination; providing employment references for current and former employees. | Records containing employee's basic personal details (e.g. address, next of kin, emergency contacts).                            | Yes | Article 6 S.1 (b), necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract.<br>Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject.<br>Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller.<br>[University Charter] |     |   |
| <b>HUMAN RESOURCES MANAGEMENT</b> | Employee Contract Management | The activities involved in managing the institution's contractual relationships with individual employees. | Activities include: maintaining complete and accurate records of individual employees' recruitment, induction, performance, discipline, training and development, occupational health and welfare, leave, pensions and termination; providing employment references for current and former employees. | Records documenting pre-employment health screening of an employee: employees exposed to hazardous substances during employment. | Yes | Article 6 S.1 (b), necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract.<br>Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject.<br>Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller.<br>[University Charter] | Yes | Article 9 S.2 (b), necessary for the purposes of carrying out the obligations and exercising specific rights of the controller or of the data subject in the field of employment and social security and social protection law in so far as it is authorised by Union or Member State law or a collective agreement pursuant to Member State law providing for appropriate safeguards for the fundamental rights and the interests of the data subject. |
| <b>HUMAN RESOURCES MANAGEMENT</b> | Employee Contract Management | The activities involved in managing the institution's contractual relationships with individual employees. | Activities include: maintaining complete and accurate records of individual employees' recruitment, induction, performance, discipline, training and development, occupational health and welfare, leave, pensions and termination; providing employment references for current and former employees. | Records documenting pre-employment health screening of an employee: other employees.   | Yes | Article 6 S.1 (b), necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract.<br>Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject.<br>Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller.<br>[University Charter] | Yes | Article 9 S.2 (b), necessary for the purposes of carrying out the obligations and exercising specific rights of the controller or of the data subject in the field of employment and social security and social protection law in so far as it is authorised by Union or Member State law or a collective agreement pursuant to Member State law providing for appropriate safeguards for the fundamental rights and the interests of the data subject. |

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| <b>HUMAN RESOURCES MANAGEMENT</b> | Employee Contract Management | The activities involved in managing the institution's contractual relationships with individual employees. | Activities include: maintaining complete and accurate records of individual employees' recruitment, induction, performance, discipline, training and development, occupational health and welfare, leave, pensions and termination; providing employment references for current and former employees. | Records documenting the issue of personal protective equipment/other special equipment to an employee.   | Yes | Article 6 S.1 (b), necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract.<br>Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject.<br>Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller.<br>[University Charter] | Yes | Article 9 S.2 (b), necessary for the purposes of carrying out the obligations and exercising specific rights of the controller or of the data subject in the field of employment and social security and social protection law in so far as it is authorised by Union or Member State law or a collective agreement pursuant to Member State law providing for appropriate safeguards for the fundamental rights and the interests of the data subject.   |
| <b>HUMAN RESOURCES MANAGEMENT</b> | Employee Contract Management | The activities involved in managing the institution's contractual relationships with individual employees. | Activities include: maintaining complete and accurate records of individual employees' recruitment, induction, performance, discipline, training and development, occupational health and welfare, leave, pensions and termination; providing employment references for current and former employees. | Records documenting major injuries to an employee arising from accidents in the workplace.   | Yes | Article 6 S.1 (b), necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract.<br>Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject.<br>Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller.<br>[University Charter] | Yes | Article 9 S.2 (b), necessary for the purposes of carrying out the obligations and exercising specific rights of the controller or of the data subject in the field of employment and social security and social protection law in so far as it is authorised by Union or Member State law or a collective agreement pursuant to Member State law providing for appropriate safeguards for the fundamental rights and the interests of the data subject.<br>Article 9 S.2 (f), necessary for the establishment, exercise or defence of legal claims. |
| <b>HUMAN RESOURCES MANAGEMENT</b> | Employee Contract Management | The activities involved in managing the institution's contractual relationships with individual employees. | Activities include: maintaining complete and accurate records of individual employees' recruitment, induction, performance, discipline, training and development, occupational health and welfare, leave, pensions and termination; providing employment references for current and former employees. | Records documenting the employee's termination of employment by voluntary resignation, redundancy, retirement (including on medical grounds) or dismissal. | Yes | Article 6 S.1 (b), necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract.<br>Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject.<br>Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller.<br>[University Charter] | Yes | Article 9 S.2 (b), necessary for the purposes of carrying out the obligations and exercising specific rights of the controller or of the data subject in the field of employment and social security and social protection law in so far as it is authorised by Union or Member State law or a collective agreement pursuant to Member State law providing for appropriate safeguards for the fundamental rights and the interests of the data subject.<br>Article 9 S.2 (f), necessary for the establishment,                                      |



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|                                   |                                 |   |   |   |     |  |  | exercise or defence of legal claims. |
| <b>HUMAN RESOURCES MANAGEMENT</b> | Employee Contract Management    | The activities involved in managing the institution's contractual relationships with individual employees.                                  | Activities include: maintaining complete and accurate records of individual employees' recruitment, induction, performance, discipline, training and development, occupational health and welfare, leave, pensions and termination; providing employment references for current and former employees. | Records documenting references provided in confidence in support of the employee's application(s) for employment by another organisation. | Yes | Article 6 S.1 (b), necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract.<br>Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject.<br>Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller.<br>[University Charter] |  |                                      |
| <b>HUMAN RESOURCES MANAGEMENT</b> | Industrial Relations Management | The activities involved in managing the institution's relationships with trades unions and labour organisations representing its workforce. | Activities include: managing recognition and de-recognition of trades unions; managing communication and consultation with trades unions and labour organisations conducting collective bargaining on behalf of the workforce.  | Records documenting institutional recognition/derecognition of trades unions.   |     |  |  |                                      |

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| <b>HUMAN RESOURCES MANAGEMENT</b> | Industrial Relations Management | The activities involved in managing the institution's relationships with trades unions and labour organisations representing its workforce. | Activities include: managing recognition and de-recognition of trades unions; managing communication and consultation with trades unions and labour organisations conducting collective bargaining on behalf of the workforce. | Records documenting agreements with trade unions.   |     |  |     |   |
| <b>HUMAN RESOURCES MANAGEMENT</b> | Industrial Relations Management | The activities involved in managing the institution's relationships with trades unions and labour organisations representing its workforce. | Activities include: managing recognition and de-recognition of trades unions; managing communication and consultation with trades unions and labour organisations conducting collective bargaining on behalf of the workforce. | Records documenting routine communications with trade union representatives, including minutes of meetings. | Yes | Article 6 S.1 (b), necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract.<br>Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject.<br>Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller.<br>[University Charter] | Yes | Article 9 S.2 (b), necessary for the purposes of carrying out the obligations and exercising specific rights of the controller or of the data subject in the field of employment and social security and social protection law in so far as it is authorised by Union or Member State law or a collective agreement pursuant to Member State law providing for appropriate safeguards for the fundamental rights and the interests of the data subject. |
| <b>HUMAN RESOURCES MANAGEMENT</b> | Industrial Relations Management | The activities involved in managing the institution's relationships with trades unions and labour organisations representing its workforce. | Activities include: managing recognition and de-recognition of trades unions; managing communication and consultation with trades unions and labour organisations conducting collective bargaining on behalf of the workforce. | Records documenting consultations/negotiations with trade unions on specific issues.                        | Yes | Article 6 S.1 (b), necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract.<br>Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject.<br>Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller.<br>[University Charter] | Yes | Article 9 S.2 (b), necessary for the purposes of carrying out the obligations and exercising specific rights of the controller or of the data subject in the field of employment and social security and social protection law in so far as it is authorised by Union or Member State law or a collective agreement pursuant to Member State law providing for appropriate safeguards for the fundamental rights and the interests of the data subject. |



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| <b>HUMAN RESOURCES<br/>MANAGEMENT</b>            | Pension Schemes<br>Administration | The activities involved in administering the institution's involvement with external pension schemes of which its staff are members. |  | Records documenting the institution's relationships with pension schemes to which all or part of its workforce belongs. | Yes | Article 6 S.1 (b), necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract.<br>Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject.<br>Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller.<br>[University Charter] | Yes | Article 9 S.2 (b), necessary for the purposes of carrying out the obligations and exercising specific rights of the controller or of the data subject in the field of employment and social security and social protection law in so far as it is authorised by Union or Member State law or a collective agreement pursuant to Member State law providing for appropriate safeguards for the fundamental rights and the interests of the data subject. |
| <b>HUMAN RESOURCES<br/>MANAGEMENT</b>            | Pension Schemes<br>Administration | The activities involved in administering the institution's involvement with external pension schemes of which its staff are members. |  | Records documenting routine communications with the pension schemes.  |     |  |     |   |
| <b>INFORMATION<br/>COMPLIANCE<br/>MANAGEMENT</b> |                                   | The function of ensuring that the institution complies with legislation on access to information.                                    |  |   |     |  |     |   |

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| <b>INFORMATION COMPLIANCE MANAGEMENT</b> | Information Compliance Strategy Development | The activities involved in developing and establishing the institution's information compliance strategy. | Activities include: identifying requirements for new/revised strategy; undertaking research; developing strategy proposals; consulting on strategy proposals; reviewing and revising strategy proposals in the light of comments received; drafting strategy documents; consulting on strategy documents; reviewing draft strategy documents in the light of comments received; producing final strategy documents; submitting final strategy documents for formal endorsement; formally endorsing strategy documents; disseminating strategy documents; reviewing strategy. | Records documenting the development and establishment of the institution's information compliance strategy: key records.    |  |  |  |  |
| <b>INFORMATION COMPLIANCE MANAGEMENT</b> | Information Compliance Strategy Development | The activities involved in developing and establishing the institution's information compliance strategy. | Activities include: identifying requirements for new/revised strategy; undertaking research; developing strategy proposals; consulting on strategy proposals; reviewing and revising strategy proposals in the light of comments received; drafting strategy documents; consulting on strategy documents; reviewing draft strategy documents in the light of comments received; producing final strategy documents; submitting final strategy documents for formal endorsement; formally endorsing strategy documents; disseminating strategy documents; reviewing strategy. | Records documenting the development and establishment of the institution's information compliance strategy: working papers. |  |  |  |  |

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| <b>INFORMATION COMPLIANCE MANAGEMENT</b> | Information Compliance Management Policy Development | The activities involved in developing and establishing the institution's policies on information compliance. | Activities include: identifying requirements for new/revised policy; undertaking research; developing policy proposals; consulting on policy proposals; reviewing and revising policy proposals in the light of comments received; drafting policy documents; consulting on policy documents; reviewing draft policy documents in the light of comments received; producing final policy documents; submitting final policy documents for formal approval; formally approving policy documents; disseminating policy documents; reviewing policy. | Records documenting the development and establishment of the institution's information compliance policies: key records.    |  |  |  |  |
| <b>INFORMATION COMPLIANCE MANAGEMENT</b> | Information Compliance Management Policy Development | The activities involved in developing and establishing the institution's policies on information compliance. | Activities include: identifying requirements for new/revised policy; undertaking research; developing policy proposals; consulting on policy proposals; reviewing and revising policy proposals in the light of comments received; drafting policy documents; consulting on policy documents; reviewing draft policy documents in the light of comments received; producing final policy documents; submitting final policy documents for formal approval; formally approving policy documents; disseminating policy documents; reviewing policy. | Records documenting the development and establishment of the institution's information compliance policies: working papers. |  |  |  |  |

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| <b>INFORMATION COMPLIANCE MANAGEMENT</b> | Information Compliance Management Procedure Development | The activities involved in developing the institution's procedures for information compliance. | Activities include: identifying needs for new/revised procedure; undertaking research; analysing work processes; drafting procedure documents; consulting on procedure documents; reviewing draft procedure documents in the light of comments received; trialling procedure; refining procedure as a result of trials; submitting final procedure documents for formal approval; formally approving procedure documents; disseminating procedure documents; reviewing procedure. | Records documenting the development of the institution's procedures relating to information compliance. |     |   |  |  |
| <b>INFORMATION COMPLIANCE MANAGEMENT</b> | Information Compliance Management Procedure Development | The activities involved in developing the institution's procedures for information compliance. | Activities include: identifying needs for new/revised procedure; undertaking research; analysing work processes; drafting procedure documents; consulting on procedure documents; reviewing draft procedure documents in the light of comments received; trialling procedure; refining procedure as a result of trials; submitting final procedure documents for formal approval; formally approving procedure documents; disseminating procedure documents; reviewing procedure. | Master copies of procedures relating to information compliance.   |     |   |  |  |
| <b>INFORMATION COMPLIANCE MANAGEMENT</b> | Data Protection Compliance                              | The activities involved in complying with legislation on data protection.                      | Activities include: liaison with the Information Commissioner; handling requests for personal information held by the institution.  | Records documenting liaison with the Information Commissioner's Office.                                 | Yes | Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject. |  |  |

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| <b>INFORMATION COMPLIANCE MANAGEMENT</b> | Data Protection Compliance        | The activities involved in complying with legislation on data protection.        | Activities include: liaison with the Information Commissioner; handling requests for personal information held by the institution.                          | Case files concerning exercise of individual rights under GDPR.  | Yes | Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject. |  |  |
| <b>INFORMATION COMPLIANCE MANAGEMENT</b> | Data Protection Compliance        | The activities involved in complying with legislation on data protection.        | Activities include: liaison with the Information Commissioner; handling requests for personal information held by the institution.                          | Records containing (anonymised) statistics, analyses and reports of requests for access to personal information held by the institution.   |     |   |  |  |
| <b>INFORMATION COMPLIANCE MANAGEMENT</b> | Freedom of Information Compliance | The activities involved in complying with legislation on freedom of information. | Activities include: developing, publishing and maintaining the institution's Publication Scheme; handling requests for information held by the institution. | Records documenting the development and maintenance of the institution's Publication Scheme, as required by the Freedom of Information Act 2000 (c. 36) and the Freedom of Information (Scotland) Act 2002 (asp 13). |     |   |  |  |

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| <b>INFORMATION COMPLIANCE MANAGEMENT</b> | Freedom of Information Compliance    | The activities involved in complying with legislation on freedom of information.              | Activities include: developing, publishing and maintaining the institution's Publication Scheme; handling requests for information held by the institution. | Records documenting the handling of requests for information held by the institution, made under the Freedom of Information Act 2000 (c. 36) or the Freedom of Information (Scotland) Act 2002 (asp 13).  | Yes | Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject.   |  |  |
| <b>INFORMATION COMPLIANCE MANAGEMENT</b> | Freedom of Information Compliance    | The activities involved in complying with legislation on freedom of information.              | Activities include: developing, publishing and maintaining the institution's Publication Scheme; handling requests for information held by the institution. | Records containing (anonymised) management statistics, analyses and reports of requests for information held by the institution, made under the Freedom of Information Act 2000 (c. 36) or the Freedom of Information (Scotland) Act 2002 (asp 13).       |     |   |  |  |
| <b>INFORMATION COMPLIANCE MANAGEMENT</b> | Environmental Information Compliance | The activities involved in complying with legislation on access to environmental information. | Activities include: handling requests for environmental information held by the institution.  | Records documenting the handling of requests for environmental information held by the institution, made under the Environmental Information Regulations 2004 (SI 2004/3391) or the Environmental Information (Scotland) Regulations 2004 (SSI 2004/520). | Yes | Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject.<br>Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller.<br>[University Charter] |  |  |

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| <b>INFORMATION COMPLIANCE MANAGEMENT</b> | Environmental Information Compliance    | The activities involved in complying with legislation on access to environmental information.         | Activities include: handling requests for environmental information held by the institution.   | Records containing (anonymised) management statistics, analyses and reports of requests for environmental information held by the institution, made under the Environmental Information Regulations 2004 (SI 2004/3391) or the Environmental Information (Scotland) Regulations 2004 (SSI 2004/520). |  |  |  |  |
| <b>RECORDS MANAGEMENT</b>                |   | The function of managing the institution's records.   |  |  |  |  |  |  |
| <b>RECORDS MANAGEMENT</b>                | Records Management Strategy Development | The activities involved in developing and establishing the institution's records management strategy. | Activities include: identifying requirements for new/revised strategy; undertaking research; developing strategy proposals; consulting on strategy proposals; reviewing and revising strategy proposals in the light of comments received; drafting strategy documents; consulting on strategy documents; reviewing draft strategy documents in the light of comments received; producing final strategy documents; submitting final strategy documents for formal endorsement; formally endorsing strategy documents; disseminating strategy documents; reviewing strategy. | Records documenting the development and establishment of the institution's records management strategy: key records.   |  |  |  |  |

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| RECORDS MANAGEMENT | Records Management Strategy Development | The activities involved in developing and establishing the institution's records management strategy.               | Activities include: identifying requirements for new/revised strategy; undertaking research; developing strategy proposals; consulting on strategy proposals; reviewing and revising strategy proposals in the light of comments received; drafting strategy documents; consulting on strategy documents; reviewing draft strategy documents in the light of comments received; producing final strategy documents; submitting final strategy documents for formal endorsement; formally endorsing strategy documents; disseminating strategy documents; reviewing strategy. | Records documenting the development and establishment of the institution's records management strategy: working papers. |  |  |  |  |
| RECORDS MANAGEMENT | Records Management Policy Development   | The activities involved in developing and establishing the institution's policies on the management of its records. | Activities include: identifying requirements for new/revised policy; undertaking research; developing policy proposals; consulting on policy proposals; reviewing and revising policy proposals in the light of comments received; drafting policy documents; consulting on policy documents; reviewing draft policy documents in the light of comments received; producing final policy documents; submitting final policy documents for formal approval; formally approving policy documents; disseminating policy documents; reviewing policy.                            | Records documenting the development and establishment of the institution's records management policies: key records.    |  |  |  |  |



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| RECORDS MANAGEMENT | Records Management Policy Development    | The activities involved in developing and establishing the institution's policies on the management of its records. | Activities include: identifying requirements for new/revised policy; undertaking research; developing policy proposals; consulting on policy proposals; reviewing and revising policy proposals in the light of comments received; drafting policy documents; consulting on policy documents; reviewing draft policy documents in the light of comments received; producing final policy documents; submitting final policy documents for formal approval; formally approving policy documents; disseminating policy documents; reviewing policy. | Records documenting the development and establishment of the institution's records management policies: working papers. |  |  |  |  |
| RECORDS MANAGEMENT | Records Management Procedure Development | The activities involved in developing the institution's procedures for the management of its records.               | Activities include: identifying needs for new/revised procedure; undertaking research; analysing work processes; drafting procedure documents; consulting on procedure documents; reviewing draft procedure documents in the light of comments received; trialling procedure; refining procedure as a result of trials; submitting final procedure documents for formal approval; formally approving procedure documents; disseminating procedure documents; reviewing procedure.   | Records documenting the development of the institution's procedures relating to records management.                     |  |  |  |  |
| RECORDS MANAGEMENT | Records Management Procedure Development | The activities involved in developing the institution's procedures for the management of its records.               | Activities include: identifying needs for new/revised procedure; undertaking research; analysing work processes; drafting procedure documents; consulting on procedure documents; reviewing draft procedure documents in the light of comments received; trialling procedure; refining procedure as a result of trials; submitting final procedure documents for formal approval; formally approving procedure documents; disseminating procedure documents; reviewing procedure.   | Master copies of procedures relating to records management.   |  |  |  |  |

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| RECORDS MANAGEMENT | Records Creation & Capture         | The activities associated with creating and capturing records.  | Activities include:<br>determining recordkeeping requirements for individual business activities and processes.   | Records documenting recordkeeping requirements for specific business activities and processes. |  |  |  |  |
| RECORDS MANAGEMENT | Records Organisation & Description | The activities associated with organising, classifying and indexing records.                                      | Activities include:<br>developing business classification schemes;<br>developing file plans;<br>developing thesauri;<br>developing metadata schemes.  | Records documenting classification and indexing schemes for records.                           |  |  |  |  |
| RECORDS MANAGEMENT | Records Storage & Handling         | The activities associated with storing records and ensuring proper handling while in transit to and from storage. | Activities include:<br>determining appropriate storage conditions for records;<br>devising storage control systems;<br>determining requirements and devising systems for converting records to alternative storage media. | Records documenting storage locations of records.  |  |  |  |  |

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| RECORDS MANAGEMENT | Records Storage & Handling | The activities associated with storing records and ensuring proper handling while in transit to and from storage. | Activities include: determining appropriate storage conditions for records; devising storage control systems; determining requirements and devising systems for converting records to alternative storage media.   | Records documenting the movement of records to/from storage.            |  |  |  |  |
| RECORDS MANAGEMENT | Records Access Control     | The activities involved in controlling access to records.   | Activities include: devising access/retrieval control systems; operating access/retrieval control systems; tracking the provision of access to records; supervising access to records under controlled conditions. | Records documenting the provision of access to records.                 |  |  |  |  |
| RECORDS MANAGEMENT | Records Retention          | The activities associated with retaining records for appropriate periods of time.                                 | Activities include: identifying requirements to retain records; developing records retention schedules; applying records retention schedules.  | Records documenting the determination of retention periods for records. |  |  |  |  |

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| RECORDS MANAGEMENT | Records Retention   | The activities associated with retaining records for appropriate periods of time.                 | Activities include: identifying requirements to retain records; developing records retention schedules; applying records retention schedules. | Final versions of Records Retention Schedules  |  |  |  |  |
| RECORDS MANAGEMENT | Records Retention   | The activities associated with retaining records for appropriate periods of time.                 | Activities include: identifying requirements to retain records; developing records retention schedules; applying records retention schedules. | Records documenting the review of individual records to determine requirements for ongoing retention, where records are disposed of. |  |  |  |  |
| RECORDS MANAGEMENT | Records Maintenance | The activities associated with maintaining the physical form and intellectual content of records. | Activities include: carrying out physical conservation of records.  | Records documenting conservation work undertaken on records.   |  |  |  |  |

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| RECORDS MANAGEMENT  | Records Disposal     | The activities associated with disposing of redundant records.    | Activities include: authorising disposal of redundant records; preparing redundant records for disposal.   | Records documenting authorisation for the disposal of redundant records. |  |  |  |  |
| RECORDS MANAGEMENT  | Records Survey/Audit | The activities involved in conducting records surveys and audits. | Activities include: devising methods of capturing and analysing survey/audit data; capturing and analysing data; preparing survey/audit reports. | Records documenting the conduct and results of records surveys/audits.   |  |  |  |  |
| ARCHIVES MANAGEMENT |                      | The function of managing the institution's archives.              |  |  |  |  |  |  |

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| ARCHIVES MANAGEMENT | Archives Strategy Development | The activities involved in developing and establishing the institution's archives strategy. | Activities include: identifying requirements for new/revised strategy; undertaking research; developing strategy proposals; consulting on strategy proposals; reviewing and revising strategy proposals in the light of comments received; drafting strategy documents; consulting on strategy documents; reviewing draft strategy documents in the light of comments received; producing final strategy documents; submitting final strategy documents for formal endorsement; formally endorsing strategy documents; disseminating strategy documents; reviewing strategy. | Records documenting the development and establishment of the institution's archives strategy: key records.    |  |  |  |  |
| ARCHIVES MANAGEMENT | Archives Strategy Development | The activities involved in developing and establishing the institution's archives strategy. | Activities include: identifying requirements for new/revised strategy; undertaking research; developing strategy proposals; consulting on strategy proposals; reviewing and revising strategy proposals in the light of comments received; drafting strategy documents; consulting on strategy documents; reviewing draft strategy documents in the light of comments received; producing final strategy documents; submitting final strategy documents for formal endorsement; formally endorsing strategy documents; disseminating strategy documents; reviewing strategy. | Records documenting the development and establishment of the institution's archives strategy: working papers. |  |  |  |  |

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| ARCHIVES MANAGEMENT | Archives Management Policy Development | The activities involved in developing and establishing the institution's policies on the management of its archives. | Activities include: identifying requirements for new/revised policy; undertaking research; developing policy proposals; consulting on policy proposals; reviewing and revising policy proposals in the light of comments received; drafting policy documents; consulting on policy documents; reviewing draft policy documents in the light of comments received; producing final policy documents; submitting final policy documents for formal approval; formally approving policy documents; disseminating policy documents; reviewing policy. | Records documenting the development and establishment of the institution's archives management policies: key records.    |  |  |  |  |
| ARCHIVES MANAGEMENT | Archives Management Policy Development | The activities involved in developing and establishing the institution's policies on the management of its archives. | Activities include: identifying requirements for new/revised policy; undertaking research; developing policy proposals; consulting on policy proposals; reviewing and revising policy proposals in the light of comments received; drafting policy documents; consulting on policy documents; reviewing draft policy documents in the light of comments received; producing final policy documents; submitting final policy documents for formal approval; formally approving policy documents; disseminating policy documents; reviewing policy. | Records documenting the development and establishment of the institution's archives management policies: working papers. |  |  |  |  |

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| ARCHIVES MANAGEMENT | Archives Management Procedure Development | The activities involved in developing the institution's procedures for the management of its archives. | Activities include: identifying needs for new/revised procedure; undertaking research; analysing work processes; drafting procedure documents; consulting on procedure documents; reviewing draft procedure documents in the light of comments received; trialling procedure; refining procedure as a result of trials; submitting final procedure documents for formal approval; formally approving procedure documents; disseminating procedure documents; reviewing procedure. | Records documenting the development of the institution's procedures relating to archives management.                     |  |  |  |  |
| ARCHIVES MANAGEMENT | Archives Management Procedure Development | The activities involved in developing the institution's procedures for the management of its archives. | Activities include: identifying needs for new/revised procedure; undertaking research; analysing work processes; drafting procedure documents; consulting on procedure documents; reviewing draft procedure documents in the light of comments received; trialling procedure; refining procedure as a result of trials; submitting final procedure documents for formal approval; formally approving procedure documents; disseminating procedure documents; reviewing procedure. | Master copies of procedures relating to archives management.   |  |  |  |  |
| ARCHIVES MANAGEMENT | Archives Acquisition                      | The activities involved in acquiring archives.   | Activities include: receiving and appraising archives, and returning or otherwise disposing of unwanted material.   | Records documenting the development and establishment of the selection criteria for records to be preserved as archives. |  |  |  |  |



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| ARCHIVES MANAGEMENT | Archives Acquisition                | The activities involved in acquiring archives.                 | Activities include: receiving and appraising archives, and returning or otherwise disposing of unwanted material.  | Records documenting the appraisal, selection and acquisition of records for preservation as institutional archives. |     |   |             |   |
| ARCHIVES MANAGEMENT | Archives Acquisition                | The activities involved in acquiring archives.                 | Activities include: receiving and appraising archives, and returning or otherwise disposing of unwanted material.  | Records documenting the accessioning of records acquired for preservation as archives.                              | Yes | Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller[University Charter] | Potentially | Article 9 S.2 (j), necessary for archiving purposes in the public interest, scientific or historical research purposes or statistical purposes in accordance with Article 89(1) based on Union or Member State law which shall be proportionate to the aim pursued, respect the essence of the right to data protection and provide for suitable and specific measures to safeguard the fundamental rights and the interests of the data subject. |
| ARCHIVES MANAGEMENT | Archives Organisation & Description | The activities involved in organising and describing archives. | Activities include: creating and maintaining records of the provenance, history and management of archives (including remedial conservation, de-accession and disposal). | Records documenting the institution's scheme of arrangement for its archives.                                       |     |   |             |   |

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| ARCHIVES MANAGEMENT | Archives Organisation & Description | The activities involved in organising and describing archives.  | Activities include: creating and maintaining records of the provenance, history and management of archives (including remedial conservation, de-accession and disposal). | Records documenting the development of the institution's standard descriptive model for its archives. |             |  |             |   |
| ARCHIVES MANAGEMENT | Archives Organisation & Description | The activities involved in organising and describing archives.  | Activities include: creating and maintaining records of the provenance, history and management of archives (including remedial conservation, de-accession and disposal). | Records containing the descriptions of the records held as archives.                                  | Potentially | Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller [University Charter] | Potentially | Article 9 S.2 (j), necessary for archiving purposes in the public interest, scientific or historical research purposes or statistical purposes in accordance with Article 89(1) based on Union or Member State law which shall be proportionate to the aim pursued, respect the essence of the right to data protection and provide for suitable and specific measures to safeguard the fundamental rights and the interests of the data subject. |
| ARCHIVES MANAGEMENT | Archives Storage & Handling         | The activities involved in storing archives and in ensuring proper handling while in transit to and from storage. | Activities include: determining appropriate storage conditions; devising storage control systems.  | Records documenting the monitoring and control of the storage of archives.                            |             |  |             |   |

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| ARCHIVES MANAGEMENT | Archives Storage & Handling | The activities involved in storing archives and in ensuring proper handling while in transit to and from storage. | Activities include: determining appropriate storage conditions; devising storage control systems.  | Records documenting the movement of archives from/to storage.              |     |  |  |  |
| ARCHIVES MANAGEMENT | Archives Access Control     | The activities involved in controlling access to archives.  | Activities include: devising access control systems; supervising access to archives under controlled conditions.                           | Records documenting requests for access to archives.                       | Yes | Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller [University Charter] |  |  |
| ARCHIVES MANAGEMENT | Archives Conservation       | The activities involved in preserving the physical condition of archives.   | Activities include: undertaking condition surveys; applying conservation treatments to preserve, repair or restore the condition of items. | Records documenting conservation work undertaken on items in the archives. |     |  |  |  |

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| ARCHIVES MANAGEMENT | Archives Disposal                 | The activities involved in de-accessioning and disposing of archives.              | Activities include: seeking authorisation for disposal from the owners of records; disposing of de-accessioned archives by donation or sale; disposing of de-accessioned archives by destruction.  | Records documenting authorisation for the disposal of de-accessioned records.  |             |  |             |   |
| ARCHIVES MANAGEMENT | Archives Promotion & Exploitation | The activities involved in promoting the archives and facilitating access to them. | Activities include: developing guides, indexes and other interpretive materials; developing and organising events (e.g. temporary exhibitions, conferences, tours) and activities (e.g. workshops, lectures, demonstrations); assembling special loan collections of items and interpretive materials to support recreational activities and educational programmes. | Records documenting the development and maintenance of specialised finding aids to promote and facilitate access to (items in) the archives. | Potentially | Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller [University Charter] | Potentially | Article 9 S.2 (j), necessary for archiving purposes in the public interest, scientific or historical research purposes or statistical purposes in accordance with Article 89(1) based on Union or Member State law which shall be proportionate to the aim pursued, respect the essence of the right to data protection and provide for suitable and specific measures to safeguard the fundamental rights and the interests of the data subject. |
| ARCHIVES MANAGEMENT | Archives Promotion & Exploitation | The activities involved in promoting the archives and facilitating access to them. |  | Records documenting the design and distribution of promotional materials to raise awareness and encourage use of (items in) the archives.    |             |  |             |   |

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| ARCHIVES MANAGEMENT | Archives Promotion & Exploitation | The activities involved in promoting the archives and facilitating access to them. |  | Records documenting enquiries about (items in) the archives, and the responses provided.Note: key information from substantive enquiries may be extracted and indexed to avoid repetitive research. | Yes | Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller[University Charter] |  |  |
| ARCHIVES MANAGEMENT | Archives Promotion & Exploitation | The activities involved in promoting the archives and facilitating access to them. |  | Records documenting the selection and use of items from the archives by institutional staff (e.g. for teaching events, publications, exhibitions).  |     |   |  |  |
| ARCHIVES MANAGEMENT | Archives Promotion & Exploitation | The activities involved in promoting the archives and facilitating access to them. |  | Records documenting the selection and use of items from the archives by third parties (e.g. for exhibitions, publications, television programmes).  |     |   |  |  |

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| <b>ARCHIVES MANAGEMENT</b>    | Archives Promotion & Exploitation   | The activities involved in promoting the archives and facilitating access to them.                        |  | Records documenting loans of items from the archives to third parties.  | Potentially | Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller [University Charter] | Potentially | Article 9 S.2 (j), necessary for archiving purposes in the public interest, scientific or historical research purposes or statistical purposes in accordance with Article 89(1) based on Union or Member State law which shall be proportionate to the aim pursued, respect the essence of the right to data protection and provide for suitable and specific measures to safeguard the fundamental rights and the interests of the data subject. |
| <b>COLLECTIONS MANAGEMENT</b> | This section is based on the activities described in SPECTRUM, the UK Museum Documentation Standard. SPECTRUM is published by the Museums Documentation Association (MDA). References to SPECTRUM in this publication refer to Version 3.1.<br><br>SPECTRUM sets out 21 procedures, of which 8 are identified as Primary Procedures. This section reflects 7 of the 8 Primary Procedures. | The function of managing the institution's collections of artworks, artefacts and manuscripts.            |  |   |             |  |             |   |
| <b>COLLECTIONS MANAGEMENT</b> | Collections Strategy Development  | The activities involved in developing and establishing the institution's collections management strategy. | Activities include: identifying requirements for new/revised strategy; undertaking research; developing strategy proposals; consulting on strategy proposals; reviewing and revising strategy proposals in the light of comments received; drafting strategy documents; consulting on strategy documents; reviewing draft strategy documents in the light of comments received; producing final strategy documents; submitting final strategy documents for formal endorsement; formally endorsing strategy documents; disseminating | Records documenting the development and establishment of the institution's collections strategy: key records. |             |  |             |   |

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|                                   |                                     |  | strategy documents;<br>reviewing strategy.  |  |  |  |  |  |
| <b>COLLECTIONS<br/>MANAGEMENT</b> | Collections Strategy<br>Development | The activities involved in<br>developing and establishing<br>the institution's collections<br>management strategy. | Activities include: identifying<br>requirements for<br>new/revised strategy;<br>undertaking research;<br>developing strategy<br>proposals; consulting on<br>strategy proposals;<br>reviewing and revising<br>strategy proposals in the<br>light of comments received;<br>drafting strategy<br>documents; consulting on<br>strategy documents;<br>reviewing draft strategy<br>documents in the light of<br>comments received;<br>producing final strategy<br>documents; submitting final<br>strategy documents for<br>formal endorsement;<br>formally endorsing strategy<br>documents; disseminating<br>strategy documents;<br>reviewing strategy. | Records documenting the<br>development and<br>establishment of the<br>institution's collections<br>strategy: working papers. |  |  |  |  |

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| <b>COLLECTIONS<br/>MANAGEMENT</b> | Collections Management<br>Policy Development | The activities involved in developing and establishing the institution's policies on the management of its collections. | Activities include: identifying requirements for new/revised policy; undertaking research; developing policy proposals; consulting on policy proposals; reviewing and revising policy proposals in the light of comments received; drafting policy documents; consulting on policy documents; reviewing draft policy documents in the light of comments received; producing final policy documents; submitting final policy documents for formal approval; formally approving policy documents; disseminating policy documents; reviewing policy. | Records documenting the development and establishment of the institution's collections management policies: key records.    |  |  |  |  |
| <b>COLLECTIONS<br/>MANAGEMENT</b> | Collections Management<br>Policy Development | The activities involved in developing and establishing the institution's policies on the management of its collections. | Activities include: identifying requirements for new/revised policy; undertaking research; developing policy proposals; consulting on policy proposals; reviewing and revising policy proposals in the light of comments received; drafting policy documents; consulting on policy documents; reviewing draft policy documents in the light of comments received; producing final policy documents; submitting final policy documents for formal approval; formally approving policy documents; disseminating policy documents; reviewing policy. | Records documenting the development and establishment of the institution's collections management policies: working papers. |  |  |  |  |



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| <b>COLLECTIONS<br/>MANAGEMENT</b> | Collections Management<br>Procedure Development | The activities involved in developing the institution's procedures for the management of its collections. | Activities include: identifying needs for new/revised procedure; undertaking research; analysing work processes; drafting procedure documents; consulting on procedure documents; reviewing draft procedure documents in the light of comments received; trialling procedure; refining procedure as a result of trials; submitting final procedure documents for formal approval; formally approving procedure documents; disseminating procedure documents; reviewing procedure. | Records documenting the development of the institution's procedures relating to collections management. |  |  |  |  |
| <b>COLLECTIONS<br/>MANAGEMENT</b> | Collections Management<br>Procedure Development | The activities involved in developing the institution's procedures for the management of its collections. | Activities include: identifying needs for new/revised procedure; undertaking research; analysing work processes; drafting procedure documents; consulting on procedure documents; reviewing draft procedure documents in the light of comments received; trialling procedure; refining procedure as a result of trials; submitting final procedure documents for formal approval; formally approving procedure documents; disseminating procedure documents; reviewing procedure. | Master copies of procedures relating to collections management.   |  |  |  |  |
| <b>COLLECTIONS<br/>MANAGEMENT</b> | Collections Promotion                           | The activities involved in promoting the institution's collections as cultural / scientific resources.    | Activities include: developing guides and other interpretive and promotional materials; developing and organising promotional events (e.g. temporary exhibitions, conferences, tours) and activities (e.g. workshops, lectures, demonstrations); handling enquiries about collections.  | Records documenting the design and development of promotional materials.                                |  |  |  |  |

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| <b>COLLECTIONS MANAGEMENT</b> | Collections Promotion | The activities involved in promoting the institution's collections as cultural / scientific resources. | Activities include: developing guides and other interpretive and promotional materials; developing and organising promotional events (e.g. temporary exhibitions, conferences, tours) and activities (e.g. workshops, lectures, demonstrations); handling enquiries about collections. | Records documenting the design and implementation of promotional events.   |     |  |  |  |
| <b>COLLECTIONS MANAGEMENT</b> | Collections Promotion | The activities involved in promoting the institution's collections as cultural / scientific resources. | Activities include: developing guides and other interpretive and promotional materials; developing and organising promotional events (e.g. temporary exhibitions, conferences, tours) and activities (e.g. workshops, lectures, demonstrations); handling enquiries about collections. | Records documenting enquiries about collections and the responses given.   | Yes | Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller [University Charter] |  |  |
| <b>COLLECTIONS MANAGEMENT</b> | Collections Use       | The activities involved in managing the use of the institution's collections.                          | Activities include those described in the SPECTRUM Use of Collections Procedure.   | Records documenting the receipt and evaluation of requests / proposals for use of collections or objects, where the requests / proposals are rejected. | Yes | Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller [University Charter] |  |  |

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| <b>COLLECTIONS<br/>MANAGEMENT</b> | Collections Use | The activities involved in managing the use of the institution's collections.  | Activities include those described in the SPECTRUM Use of Collections Procedure.  | Records documenting the receipt and evaluation of requests / proposals for use of collections or objects, where the requests / proposals are authorised.  | Yes | Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller [University Charter] |  |  |
| <b>COLLECTIONS<br/>MANAGEMENT</b> | Collections Use | The activities involved in managing the use of the institution's collections.  | Activities include those described in the SPECTRUM Use of Collections Procedure.  | Records documenting the authorised use of collections or objects, and actions taken to facilitate, monitor or control use (e.g. checking environmental conditions, handling / operating objects; taking samples from objects) |     |  |  |  |
| <b>COLLECTIONS<br/>MANAGEMENT</b> | Object Receipt  | The activities involved in managing the receipt of objects which are not currently part of the institution's collections (e.g. unsolicited gifts). | Activities include those described in the SPECTRUM Object Entry procedure and the return of unwanted objects to their owners, where they are known. | Records documenting the receipt of objects which are not currently part of the institution's collections.SPECTRUM: Object Entry records   | Yes | Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller[University Charter]  |  |  |

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| <b>COLLECTIONS<br/>MANAGEMENT</b> | Object Borrowing                   | The activities involved in borrowing objects from other organisations (or individuals) for a specific period of time and for a specified purpose.   | Activities include those described in the SPECTRUM Loans In procedure.                      | Records documenting loans of objects to the institution by other organisations or by individuals.<br><br>SPECTRUM: Loan In records         | Yes | Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller<br>[University Charter] |  |  |
| <b>COLLECTIONS<br/>MANAGEMENT</b> | Object Acquisition                 | The activities involved in formally adding objects to the institution's collections,  | Activities include those described in the SPECTRUM Acquisition procedure.                   | Records documenting the acquisition of objects for the institution's collections.<br><br>SPECTRUM: Accession records                       | Yes | Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller<br>[University Charter] |  |  |
| <b>COLLECTIONS<br/>MANAGEMENT</b> | Object Location & Movement Control | The activities involved in documenting the location of objects in the institution's collections and in controlling and tracking the movement of objects between locations within the institution's premises (e.g. between storage and display areas). | Activities include those described in the SPECTRUM Location and Movement Control procedure. | Records documenting the location and movement of objects within the institution's premises.<br><br>SPECTRUM: Location and Movement Records |     |   |  |  |

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| <b>COLLECTIONS<br/>MANAGEMENT</b> | Object Cataloguing | The activities involved in compiling and maintaining key information which formally identifies and describes objects in the institution's collections.   | Activities include those described in the SPECTRUM Cataloguing procedure.  | Records documenting key information about objects in the institution's collections.<br><br>SPECTRUM: Catalogue records | Yes | Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller<br>[University Charter] |  |  |
| <b>COLLECTIONS<br/>MANAGEMENT</b> | Object Dispatch    | The activities involved in managing the process by which objects leave the institution's premises (e.g. to be loaned or permanently transferred to another organisation, to be temporarily transferred to another organisation for conservation or copying, or to be destroyed). | Activities include: those described in the SPECTRUM Object Exit procedure. | Records documenting objects which have left the institution's premises.<br><br>SPECTRUM: Object Exit Records           | Yes | Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller<br>[University Charter] |  |  |
| <b>COLLECTIONS<br/>MANAGEMENT</b> | Object Lending     | The activities involved in lending objects to other organisations (or individuals) for a specific period of time and for a specified purpose.  | Activities include those described in the SPECTRUM Loans Out procedure.    | Records documenting loans of objects to other organisations or to individuals.<br><br>SPECTRUM: Loan Out records       | Yes | Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller<br>[University Charter] |  |  |

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| <b>PUBLICATIONS<br/>MANAGEMENT</b> |                                   | The function of managing the institution's collections of publications acquired or assembled to support its work. |  |   |  |  |  |  |
| <b>PUBLICATIONS<br/>MANAGEMENT</b> | Publications Strategy Development | The activities involved in developing and establishing the institution's publications strategy.                   | Activities include: identifying requirements for new/revised strategy; undertaking research; developing strategy proposals; consulting on strategy proposals; reviewing and revising strategy proposals in the light of comments received; drafting strategy documents; consulting on strategy documents; reviewing draft strategy documents in the light of comments received; producing final strategy documents; submitting final strategy documents for formal endorsement; formally endorsing strategy documents; disseminating strategy documents; reviewing strategy. | Records documenting the development and establishment of the institution's publications strategy: key records.    |  |  |  |  |
| <b>PUBLICATIONS<br/>MANAGEMENT</b> | Publications Strategy Development | The activities involved in developing and establishing the institution's publications strategy.                   | Activities include: identifying requirements for new/revised strategy; undertaking research; developing strategy proposals; consulting on strategy proposals; reviewing and revising strategy proposals in the light of comments received; drafting strategy documents; consulting on strategy documents; reviewing draft strategy documents in the light of comments received; producing final strategy documents; submitting final strategy documents for formal endorsement; formally endorsing strategy documents; disseminating strategy documents; reviewing strategy. | Records documenting the development and establishment of the institution's publications strategy: working papers. |  |  |  |  |

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| <b>PUBLICATIONS<br/>MANAGEMENT</b> | Publications Management<br>Policy Development | The activities involved in developing and establishing the institution's policies on the management of publications. | Activities include: identifying requirements for new/revised policy; undertaking research; developing policy proposals; consulting on policy proposals; reviewing and revising policy proposals in the light of comments received; drafting policy documents; consulting on policy documents; reviewing draft policy documents in the light of comments received; producing final policy documents; submitting final policy documents for formal approval; formally approving policy documents; disseminating policy documents; reviewing policy. | Records documenting the development and establishment of the institution's publications management policies: key records.    |  |  |  |  |
| <b>PUBLICATIONS<br/>MANAGEMENT</b> | Publications Management<br>Policy Development | The activities involved in developing and establishing the institution's policies on the management of publications. | Activities include: identifying requirements for new/revised policy; undertaking research; developing policy proposals; consulting on policy proposals; reviewing and revising policy proposals in the light of comments received; drafting policy documents; consulting on policy documents; reviewing draft policy documents in the light of comments received; producing final policy documents; submitting final policy documents for formal approval; formally approving policy documents; disseminating policy documents; reviewing policy. | Records documenting the development and establishment of the institution's publications management policies: working papers. |  |  |  |  |

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| <b>PUBLICATIONS<br/>MANAGEMENT</b> | Publications Management<br>Procedure Development | The activities involved in developing the institution's procedures for the management of publications. | Activities include: identifying needs for new/revised procedure; undertaking research; analysing work processes; drafting procedure documents; consulting on procedure documents; reviewing draft procedure documents in the light of comments received; trialling procedure; refining procedure as a result of trials; submitting final procedure documents for formal approval; formally approving procedure documents; disseminating procedure documents; reviewing procedure. | Records documenting the development of the institution's procedures relating to publications management. |  |  |  |  |
| <b>PUBLICATIONS<br/>MANAGEMENT</b> | Publications Management<br>Procedure Development | The activities involved in developing the institution's procedures for the management of publications. | Activities include: identifying needs for new/revised procedure; undertaking research; analysing work processes; drafting procedure documents; consulting on procedure documents; reviewing draft procedure documents in the light of comments received; trialling procedure; refining procedure as a result of trials; submitting final procedure documents for formal approval; formally approving procedure documents; disseminating procedure documents; reviewing procedure. | Master copies of procedures relating to publications management.   |  |  |  |  |
| <b>PUBLICATIONS<br/>MANAGEMENT</b> | Publications Acquisition                         | The activities involved in acquiring publications.   | Activities include: identifying and selecting publications to purchase.   | Records documenting the process of selecting publications to purchase.                                   |  |  |  |  |



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| <b>PUBLICATIONS<br/>MANAGEMENT</b> | Publications Acquisition  | The activities involved in acquiring publications.                               | Activities include: identifying and selecting publications to purchase. | Records documenting decisions to (dis)continue purchase of publications.                      |  |  |  |  |
| <b>PUBLICATIONS<br/>MANAGEMENT</b> | Publications Organisation | The activities involved in organising, classifying and cataloguing publications. |   | Records documenting the institution's scheme(s) for classifying and cataloguing publications. |  |  |  |  |
| <b>PUBLICATIONS<br/>MANAGEMENT</b> | Publications Organisation | The activities involved in organising, classifying and cataloguing publications. |   | Catalogues/indexes  |  |  |  |  |

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| <b>PUBLICATIONS<br/>MANAGEMENT</b> | Publications Storage & Handling | The activities associated with storing publications and ensuring proper handling while in transit to and from storage. | Activities include: determining appropriate storage conditions; devising storage control systems. | Records documenting the monitoring and control of storage conditions. |  |  |  |  |
| <b>PUBLICATIONS<br/>MANAGEMENT</b> | Publications Storage & Handling | The activities associated with storing publications and ensuring proper handling while in transit to and from storage. | Activities include: determining appropriate storage conditions; devising storage control systems. | Records documenting the movement of items from/to storage.            |  |  |  |  |
| <b>PUBLICATIONS<br/>MANAGEMENT</b> | Publications Conservation       | The activities involved in preserving the physical condition of publications.  | Activities include: binding items for preservation purposes; repairing damaged items.             | Records documenting conservation work undertaken on publications.     |  |  |  |  |

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| <b>PUBLICATIONS MANAGEMENT</b> | Publications Disposal               | The activities involved in disposing of redundant publications.   |  | Records documenting the authorisation for the disposal of redundant publications.   |     |   |  |  |
| <b>PUBLICATIONS MANAGEMENT</b> | Copyright Compliance Administration | The activities involved in administering the institution's compliance with the Copyright, Designs & Patents Act 1988. | Activities include: obtaining permission to copy from published works in which the copyright is not owned by the institution; monitoring use of such works within the institution; participating in surveys / audits undertaken by copyright licensing organisations; facilitating inspections undertaken by copyright licensing organisations; administering payments to copyright licensing organisations. | Records documenting applications for permission to copy from published works which are not covered by Copyright Licensing Agency licences, where permission is not granted. | Yes | Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject<br>Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller<br>[University Charter] |  |  |
| <b>PUBLICATIONS MANAGEMENT</b> | Copyright Compliance Administration | The activities involved in administering the institution's compliance with the Copyright, Designs & Patents Act 1988. | Activities include: obtaining permission to copy from published works in which the copyright is not owned by the institution; monitoring use of such works within the institution; participating in surveys / audits undertaken by copyright licensing organisations; facilitating inspections undertaken by copyright licensing organisations; administering payments to copyright licensing organisations. | Records documenting applications for permission to copy from published works which are not covered by Copyright Licensing Agency licences, where permission is granted.     | Yes | Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject<br>Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller<br>[University Charter] |  |  |

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| <b>PUBLICATIONS<br/>MANAGEMENT</b> | Copyright Compliance<br>Administration | The activities involved in administering the institution's compliance with the Copyright, Designs & Patents Act 1988. | Activities include: obtaining permission to copy from published works in which the copyright is not owned by the institution; monitoring use of such works within the institution; participating in surveys / audits undertaken by copyright licensing organisations; facilitating inspections undertaken by copyright licensing organisations; administering payments to copyright licensing organisations. | Records documenting the compilation of statistical and other data required by the Copyright Licensing Agency, and the submission of this data to the Agency. |  |  |  |  |
| <b>PUBLICATIONS<br/>MANAGEMENT</b> | Copyright Compliance<br>Administration | The activities involved in administering the institution's compliance with the Copyright, Designs & Patents Act 1988. | Activities include: obtaining permission to copy from published works in which the copyright is not owned by the institution; monitoring use of such works within the institution; participating in surveys / audits undertaken by copyright licensing organisations; facilitating inspections undertaken by copyright licensing organisations; administering payments to copyright licensing organisations. | Records documenting the institution's participation in surveys / audits undertaken by the Copyright Licensing Agency.  |  |  |  |  |
| <b>PUBLICATIONS<br/>MANAGEMENT</b> | Copyright Compliance<br>Administration | The activities involved in administering the institution's compliance with the Copyright, Designs & Patents Act 1988. | Activities include: obtaining permission to copy from published works in which the copyright is not owned by the institution; monitoring use of such works within the institution; participating in surveys / audits undertaken by copyright licensing organisations; facilitating inspections undertaken by copyright licensing organisations; administering payments to copyright licensing organisations. | Records documenting the results of surveys / audits undertaken by the Copyright Licensing Agency (provided to the institution by the Agency).                |  |  |  |  |

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| <b>PUBLICATIONS<br/>MANAGEMENT</b>                           | Copyright Compliance<br>Administration  | The activities involved in administering the institution's compliance with the Copyright, Designs & Patents Act 1988. | Activities include: obtaining permission to copy from published works in which the copyright is not owned by the institution; monitoring use of such works within the institution; participating in surveys / audits undertaken by copyright licensing organisations; facilitating inspections undertaken by copyright licensing organisations; administering payments to copyright licensing organisations.  | Records documenting the institution's participation in inspections undertaken by copyright owners or their representatives to check the institution's compliance with legal / contractual requirements. | Yes | Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject<br>Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller<br>[University Charter] |  |  |
| <b>INTELLECTUAL PROPERTY<br/>RIGHTS (IPR)<br/>MANAGEMENT</b> | IPR Management Policy<br>Development    | The activities involved in developing and establishing the institution's policies on IPR.                             | Activities include: identifying requirements for new/revised policy; undertaking research; developing policy proposals; consulting on policy proposals; reviewing and revising policy proposals in the light of comments received; drafting policy documents; consulting on policy documents; reviewing draft policy documents in the light of comments received; producing final policy documents; submitting final policy documents for formal approval; formally approving policy documents; disseminating policy documents; reviewing policy. | Records documenting the development and establishment of the institution's IPR management policies: working papers.   |     |   |  |  |
| <b>INTELLECTUAL PROPERTY<br/>RIGHTS (IPR)<br/>MANAGEMENT</b> | IPR Management Procedure<br>Development | The activities involved in developing the institution's procedures for managing IPR.                                  | Activities include: identifying needs for new/revised procedure; undertaking research; analysing work processes; drafting procedure documents; consulting on procedure documents; reviewing draft procedure documents in the light of comments received; trialling procedure; refining procedure as a result of trials; submitting final procedure documents for formal approval; formally approving procedure documents; disseminating procedure documents; reviewing procedure.   | Records documenting the development of the institution's procedures relating to IPR management.   |     |   |  |  |

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| INTELLECTUAL PROPERTY RIGHTS (IPR) MANAGEMENT | IPR Management Procedure Development | The activities involved in developing the institution's procedures for managing IPR. | Activities include: identifying needs for new/revised procedure; undertaking research; analysing work processes; drafting procedure documents; consulting on procedure documents; reviewing draft procedure documents in the light of comments received; trialling procedure; refining procedure as a result of trials; submitting final procedure documents for formal approval; formally approving procedure documents; disseminating procedure documents; reviewing procedure. | Master copies of procedures relating to IPR management.  |     |   |  |  |
| INTELLECTUAL PROPERTY RIGHTS (IPR) MANAGEMENT | IPR Protection                       | The activities involved in protecting the institution's IPR.                         | Activities include: applying for formal protection for intellectual property (i.e. granting of patents, registration of designs and trade marks); amending, cancelling or renewing existing protection; enforcing protection.   | Records documenting the institution's applications for patents and patent certificates.  | Yes | Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject<br>Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller<br>[University Charter] |  |  |
| INTELLECTUAL PROPERTY RIGHTS (IPR) MANAGEMENT | IPR Protection                       | The activities involved in protecting the institution's IPR.                         | Activities include: applying for formal protection for intellectual property (i.e. granting of patents, registration of designs and trade marks); amending, cancelling or renewing existing protection; enforcing protection.   | Records documenting the institution's applications for other forms of IPR protection (registered trade marks, registered designs) and certificates of registration | Yes | Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject<br>Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller<br>[University Charter] |  |  |

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| INTELLECTUAL PROPERTY RIGHTS (IPR) MANAGEMENT | IPR Protection | The activities involved in protecting the institution's IPR. | Activities include: applying for formal protection for intellectual property (i.e. granting of patents, registration of designs and trade marks); amending, cancelling or renewing existing protection; enforcing protection. | Records documenting applications for renewal of IPR protection, up to the maximum period permitted.              | Yes | Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject<br>Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller<br>[University Charter] |  |  |
| INTELLECTUAL PROPERTY RIGHTS (IPR) MANAGEMENT | IPR Protection | The activities involved in protecting the institution's IPR. | Activities include: applying for formal protection for intellectual property (i.e. granting of patents, registration of designs and trade marks); amending, cancelling or renewing existing protection; enforcing protection. | Records documenting routine monitoring of third party activity to detect infringements of the institution's IPR. |     |   |  |  |
| INTELLECTUAL PROPERTY RIGHTS (IPR) MANAGEMENT | IPR Protection | The activities involved in protecting the institution's IPR. | Activities include: applying for formal protection for intellectual property (i.e. granting of patents, registration of designs and trade marks); amending, cancelling or renewing existing protection; enforcing protection. | Records documenting identified infringements of the institution's IPR, and action taken other than litigation.   | Yes | Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject<br>Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller<br>[University Charter] |  |  |

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| <b>INFORMATION &amp; COMMUNICATIONS TECHNOLOGY (ICT) SYSTEMS MANAGEMENT</b> |                                  | The function of managing the institution's information and communications technology (ICT) systems. |  |  |  |  |  |  |
| <b>INFORMATION &amp; COMMUNICATIONS TECHNOLOGY (ICT) SYSTEMS MANAGEMENT</b> | ICT Systems Strategy Development | The activities involved in developing and establishing the institution's ICT systems strategy.      | Activities include: identifying requirements for new/revised strategy; undertaking research; developing strategy proposals; consulting on strategy proposals; reviewing and revising strategy proposals in the light of comments received; drafting strategy documents; consulting on strategy documents; reviewing draft strategy documents in the light of comments received; producing final strategy documents; submitting final strategy documents for formal endorsement; formally endorsing strategy documents; disseminating strategy documents; reviewing strategy. | Records documenting the development and establishment of the institution's ICT systems strategy: key records.    |  |  |  |  |
| <b>INFORMATION &amp; COMMUNICATIONS TECHNOLOGY (ICT) SYSTEMS MANAGEMENT</b> | ICT Systems Strategy Development | The activities involved in developing and establishing the institution's ICT systems strategy.      | Activities include: identifying requirements for new/revised strategy; undertaking research; developing strategy proposals; consulting on strategy proposals; reviewing and revising strategy proposals in the light of comments received; drafting strategy documents; consulting on strategy documents; reviewing draft strategy documents in the light of comments received; producing final strategy documents; submitting final strategy documents for formal endorsement; formally endorsing strategy documents; disseminating strategy documents; reviewing strategy. | Records documenting the development and establishment of the institution's ICT systems strategy: working papers. |  |  |  |  |



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| <b>INFORMATION &amp; COMMUNICATIONS TECHNOLOGY (ICT) SYSTEMS MANAGEMENT</b> | ICT Systems Management Policy Development | The activities involved in developing and establishing the institution's policies on ICT systems. | Activities include: identifying requirements for new/revised policy; undertaking research; developing policy proposals; consulting on policy proposals; reviewing and revising policy proposals in the light of comments received; drafting policy documents; consulting on policy documents; reviewing draft policy documents in the light of comments received; producing final policy documents; submitting final policy documents for formal approval; formally approving policy documents; disseminating policy documents; reviewing policy. | Records documenting the development and establishment of the institution's ICT systems management policies: key records.    |  |  |  |  |
| <b>INFORMATION &amp; COMMUNICATIONS TECHNOLOGY (ICT) SYSTEMS MANAGEMENT</b> | ICT Systems Management Policy Development | The activities involved in developing and establishing the institution's policies on ICT systems. | Activities include: identifying requirements for new/revised policy; undertaking research; developing policy proposals; consulting on policy proposals; reviewing and revising policy proposals in the light of comments received; drafting policy documents; consulting on policy documents; reviewing draft policy documents in the light of comments received; producing final policy documents; submitting final policy documents for formal approval; formally approving policy documents; disseminating policy documents; reviewing policy. | Records documenting the development and establishment of the institution's ICT systems management policies: working papers. |  |  |  |  |

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| <b>INFORMATION &amp; COMMUNICATIONS TECHNOLOGY (ICT) SYSTEMS MANAGEMENT</b> | ICT Systems Management Procedure Development | The activities involved in developing the institution's procedures for managing ICT systems. | Activities include: identifying needs for new/revised procedure; undertaking research; analysing work processes; drafting procedure documents; consulting on procedure documents; reviewing draft procedure documents in the light of comments received; trialling procedure; refining procedure as a result of trials; submitting final procedure documents for formal approval; formally approving procedure documents; disseminating procedure documents; reviewing procedure. | Records documenting the development of the institution's procedures relating to the management of ICT systems.   |  |  |  |  |
| <b>INFORMATION &amp; COMMUNICATIONS TECHNOLOGY (ICT) SYSTEMS MANAGEMENT</b> | ICT Systems Management Procedure Development | The activities involved in developing the institution's procedures for managing ICT systems. | Activities include: identifying needs for new/revised procedure; undertaking research; analysing work processes; drafting procedure documents; consulting on procedure documents; reviewing draft procedure documents in the light of comments received; trialling procedure; refining procedure as a result of trials; submitting final procedure documents for formal approval; formally approving procedure documents; disseminating procedure documents; reviewing procedure. | Master copies of procedures relating to the management of ICT systems.   |  |  |  |  |
| <b>INFORMATION &amp; COMMUNICATIONS TECHNOLOGY (ICT) SYSTEMS MANAGEMENT</b> | ICT Systems Development                      | The activities involved in developing new ICT systems and re-developing existing systems.    | Activities include: specifying requirements; evaluating potential systems/solutions; installing systems; testing systems; commissioning systems; controlling changes to systems; decommissioning systems.   | Records documenting the initial development and post-implementation modification and maintenance of ICT systems. |  |  |  |  |

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| <b>INFORMATION &amp; COMMUNICATIONS TECHNOLOGY (ICT) SYSTEMS MANAGEMENT</b> | ICT Systems Development           | The activities involved in developing new ICT systems and re-developing existing systems. | Activities include: specifying requirements; evaluating potential systems/solutions; installing systems; testing systems; commissioning systems; controlling changes to systems; decommissioning systems.                                     | Records documenting the initial development of ICT systems which are not implemented.  |     |  |  |  |
| <b>INFORMATION &amp; COMMUNICATIONS TECHNOLOGY (ICT) SYSTEMS MANAGEMENT</b> | ICT Systems Development           | The activities involved in developing new ICT systems and re-developing existing systems. | Activities include: specifying requirements; evaluating potential systems/solutions; installing systems; testing systems; commissioning systems; controlling changes to systems; decommissioning systems.                                     | Records documenting the management of ICT systems development projects (i.e. project management records).  |     |  |  |  |
| <b>INFORMATION &amp; COMMUNICATIONS TECHNOLOGY (ICT) SYSTEMS MANAGEMENT</b> | ICT Systems Operations Management | The activities involved in operating ICT systems.   | Activities include: monitoring system performance; reporting, investigating and resolving system faults; managing system data storage, including backup, migration, archiving and deletion; maintaining appropriate system software licences. | Records documenting the routine monitoring and testing of the operation of ICT systems, and action taken to rectify problems and optimise performance. | Yes | Article 6 S.1 (b), necessary for the performance of a contract to which the data subject is partyArticle 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subjectArticle 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller[University Charter] |  |  |

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| <b>INFORMATION &amp; COMMUNICATIONS TECHNOLOGY (ICT) SYSTEMS MANAGEMENT</b> | ICT Systems Operations Management | The activities involved in operating ICT systems. | Activities include: monitoring system performance; reporting, investigating and resolving system faults; managing system data storage, including backup, migration, archiving and deletion; maintaining appropriate system software licences. | Records documenting faults reported by users of ICT systems, and action taken to investigate and resolve the problem.                       | Yes | Article 6 S.1 (b), necessary for the performance of a contract to which the data subject is party<br>Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject<br>Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller<br>[University Charter] |  |  |
| <b>INFORMATION &amp; COMMUNICATIONS TECHNOLOGY (ICT) SYSTEMS MANAGEMENT</b> | ICT Systems Operations Management | The activities involved in operating ICT systems. | Activities include: monitoring system performance; reporting, investigating and resolving system faults; managing system data storage, including backup, migration, archiving and deletion; maintaining appropriate system software licences. | Records documenting the management of system data storage, including the operation of routine data backup, archiving and deletion routines. | Yes | Article 6 S.1 (b), necessary for the performance of a contract to which the data subject is party<br>Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject<br>Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller<br>[University Charter] |  |  |
| <b>INFORMATION &amp; COMMUNICATIONS TECHNOLOGY (ICT) SYSTEMS MANAGEMENT</b> | ICT Systems Operations Management | The activities involved in operating ICT systems. | Activities include: monitoring system performance; reporting, investigating and resolving system faults; managing system data storage, including backup, migration, archiving and deletion; maintaining appropriate system software licences. | Records documenting user requests to recover data from backup or archive stores, and action taken.  | Yes | Article 6 S.1 (b), necessary for the performance of a contract to which the data subject is party<br>Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject<br>Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller<br>[University Charter] |  |  |

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| <b>INFORMATION &amp; COMMUNICATIONS TECHNOLOGY (ICT) SYSTEMS MANAGEMENT</b> | ICT Systems Operations Management | The activities involved in operating ICT systems.   | Activities include: monitoring system performance; reporting, investigating and resolving system faults; managing system data storage, including backup, migration, archiving and deletion; maintaining appropriate system software licences.                  | Records documenting the maintenance of appropriate software licences for live ICT systems. | Yes | Article 6 S.1 (b), necessary for the performance of a contract to which the data subject is party<br>Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject<br>Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller<br>[University Charter] |  |  |
| <b>INFORMATION &amp; COMMUNICATIONS TECHNOLOGY (ICT) SYSTEMS MANAGEMENT</b> | ICT Systems Security Management   | The activities involved in managing access to, and use of, the institution's ICT systems. | Activities include: opening and closing system user accounts; monitoring use of systems to ensure compliance with institutional policies and relevant legislation; responding to security breaches or incidents; sanitisation of ICT hardware before disposal. | Records documenting the security arrangements for ICT systems.                             |     |  |  |  |
| <b>INFORMATION &amp; COMMUNICATIONS TECHNOLOGY (ICT) SYSTEMS MANAGEMENT</b> | ICT Systems Security Management   | The activities involved in managing access to, and use of, the institution's ICT systems. | Activities include: opening and closing system user accounts; monitoring use of systems to ensure compliance with institutional policies and relevant legislation; responding to security breaches or incidents; sanitisation of ICT hardware before disposal. | Records documenting the opening, maintenance and closure of user accounts for ICT systems. | Yes | Article 6 S.1 (b), necessary for the performance of a contract to which the data subject is party<br>Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject<br>Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller<br>[University Charter] |  |  |

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| <b>INFORMATION &amp; COMMUNICATIONS TECHNOLOGY (ICT) SYSTEMS MANAGEMENT</b> | ICT Systems Security Management | The activities involved in managing access to, and use of, the institution's ICT systems. | Activities include: opening and closing system user accounts; monitoring use of systems to ensure compliance with institutional policies and relevant legislation; responding to security breaches or incidents; sanitisation of ICT hardware before disposal. | Records documenting routine monitoring of the use of ICT systems to ensure compliance with legal requirements and institutional policies. | Yes | Article 6 S.1 (b), necessary for the performance of a contract to which the data subject is party<br>Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject<br>Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller [University Charter] |             |  |
| <b>INFORMATION &amp; COMMUNICATIONS TECHNOLOGY (ICT) SYSTEMS MANAGEMENT</b> | ICT Systems Security Management | The activities involved in managing access to, and use of, the institution's ICT systems. | Activities include: opening and closing system user accounts; monitoring use of systems to ensure compliance with institutional policies and relevant legislation; responding to security breaches or incidents; sanitisation of ICT hardware before disposal. | Records documenting attempted or actual security breaches of the institution's ICT systems, and action taken.                             | Yes | Article 6 S.1 (b), necessary for the performance of a contract to which the data subject is party<br>Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject<br>Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller [University Charter] | Potentially | Article 9 S.2 (b), necessary for the purposes of carrying out the obligations and exercising specific rights of the controller or of the data subject in the field of employment and social security and social protection law in so far as it is authorised by Union or Member State law or a collective agreement pursuant to Member State law providing for appropriate safeguards for the fundamental rights and the interests of the data subject.<br>Article 9 S.2 (f), necessary for the establishment, exercise or defence of legal claims.<br>Article 9 S.2 (g) necessary for reasons of substantial public interest, on the basis of Union or Member State law which shall be proportionate to the aim pursued, respect the essence of the right to data protection and provide for suitable and specific measures to safeguard the fundamental rights and the interests of the data subject |

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| <b>INFORMATION &amp; COMMUNICATIONS TECHNOLOGY (ICT) SYSTEMS MANAGEMENT</b> | ICT Systems Security Management | The activities involved in managing access to, and use of, the institution's ICT systems. | Activities include: opening and closing system user accounts; monitoring use of systems to ensure compliance with institutional policies and relevant legislation; responding to security breaches or incidents; sanitisation of ICT hardware before disposal. | Requests for, and authorisation of, connections of third party equipment to the institution's networks, either on institutional premises or via dial-up communications links. | Yes | Article 6 S.1 (b), necessary for the performance of a contract to which the data subject is party<br>Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject<br>Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller<br>[University Charter] |  |  |
| <b>INFORMATION &amp; COMMUNICATIONS TECHNOLOGY (ICT) SYSTEMS MANAGEMENT</b> | ICT Systems Security Management | The activities involved in managing access to, and use of, the institution's ICT systems. | Activities include: opening and closing system user accounts; monitoring use of systems to ensure compliance with institutional policies and relevant legislation; responding to security breaches or incidents; sanitisation of ICT hardware before disposal. | Records documenting the removal/return of mobile ICT systems hardware and software from/to the institution's premises.  | Yes | Article 6 S.1 (b), necessary for the performance of a contract to which the data subject is party<br>Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject<br>Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller<br>[University Charter] |  |  |
| <b>INFORMATION &amp; COMMUNICATIONS TECHNOLOGY (ICT) SYSTEMS MANAGEMENT</b> | ICT Systems Security Management | The activities involved in managing access to, and use of, the institution's ICT systems. | Activities include: opening and closing system user accounts; monitoring use of systems to ensure compliance with institutional policies and relevant legislation; responding to security breaches or incidents; sanitisation of ICT hardware before disposal. | Records documenting arrangements for the sanitisation of institutional ICT equipment prior to disposal.   |     |  |  |  |

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| <b>INFORMATION &amp; COMMUNICATIONS TECHNOLOGY (ICT) SYSTEMS MANAGEMENT</b> | ICT Systems Training                         | The activities involved in providing training for users of the institution's ICT systems.  | <p>Activities include: identifying training requirements; identifying and evaluating training options.</p> <p>For external training, activities include: identifying and evaluating training programmes; organising attendance at training events; evaluating training programmes/events.</p> <p>For internal training, activities include: developing training programmes; organising and arranging training events; delivering training; evaluating training programmes/events.</p>   | Records documenting the development of technical and application training for ICT system users.                             |  |  |  |  |
| <b>EQUIPMENT &amp; CONSUMABLES MANAGEMENT</b>                               |  | The function of managing equipment and consumables which are owned by the institution, or which the institution has legal rights to use. |   |   |  |  |  |  |
| <b>EQUIPMENT &amp; CONSUMABLES MANAGEMENT</b>                               | Equipment & Consumables Strategy Development | The activities involved in developing and establishing the institution's equipment and consumables strategy.                             | <p>Activities include: identifying requirements for new/revised strategy; undertaking research; developing strategy proposals; consulting on strategy proposals; reviewing and revising strategy proposals in the light of comments received; drafting strategy documents; consulting on strategy documents; reviewing draft strategy documents in the light of comments received; producing final strategy documents; submitting final strategy documents for formal endorsement; formally endorsing strategy documents; disseminating strategy documents; reviewing strategy.</p> | Records documenting the development and establishment of the institution's equipment and consumables strategy: key records. |  |  |  |  |



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| <b>EQUIPMENT &amp; CONSUMABLES MANAGEMENT</b> | Equipment & Consumables Strategy Development          | The activities involved in developing and establishing the institution's equipment and consumables strategy.    | Activities include: identifying requirements for new/revised strategy; undertaking research; developing strategy proposals; consulting on strategy proposals; reviewing and revising strategy proposals in the light of comments received; drafting strategy documents; consulting on strategy documents; reviewing draft strategy documents in the light of comments received; producing final strategy documents; submitting final strategy documents for formal endorsement; formally endorsing strategy documents; disseminating strategy documents; reviewing strategy. | Records documenting the development and establishment of the institution's equipment and consumables strategy: working papers.         |  |  |  |  |
| <b>EQUIPMENT &amp; CONSUMABLES MANAGEMENT</b> | Equipment & Consumables Management Policy Development | The activities involved in developing and establishing the institution's policies on equipment and consumables. | Activities include: identifying requirements for new/revised policy; undertaking research; developing policy proposals; consulting on policy proposals; reviewing and revising policy proposals in the light of comments received; drafting policy documents; consulting on policy documents; reviewing draft policy documents in the light of comments received; producing final policy documents; submitting final policy documents for formal approval; formally approving policy documents; disseminating policy documents; reviewing policy.                            | Records documenting the development and establishment of the institution's equipment and consumables management policies: key records. |  |  |  |  |

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| <b>EQUIPMENT &amp; CONSUMABLES MANAGEMENT</b> | Equipment & Consumables Management Policy Development    | The activities involved in developing and establishing the institution's policies on equipment and consumables. | Activities include: identifying requirements for new/revised policy; undertaking research; developing policy proposals; consulting on policy proposals; reviewing and revising policy proposals in the light of comments received; drafting policy documents; consulting on policy documents; reviewing draft policy documents in the light of comments received; producing final policy documents; submitting final policy documents for formal approval; formally approving policy documents; disseminating policy documents; reviewing policy. | Records documenting the development and establishment of the institution's equipment and consumables management policies: working papers. |  |  |  |  |
| <b>EQUIPMENT &amp; CONSUMABLES MANAGEMENT</b> | Equipment & Consumables Management Procedure Development | The activities involved in developing the institution's procedures for managing equipment and consumables.      | Activities include: identifying needs for new/revised procedure; undertaking research; analysing work processes; drafting procedure documents; consulting on procedure documents; reviewing draft procedure documents in the light of comments received; trialling procedure; refining procedure as a result of trials; submitting final procedure documents for formal approval; formally approving procedure documents; disseminating procedure documents; reviewing procedure.   | Records documenting the development of the institution's procedures relating to the management of equipment and consumables.              |  |  |  |  |
| <b>EQUIPMENT &amp; CONSUMABLES MANAGEMENT</b> | Equipment & Consumables Management Procedure Development | The activities involved in developing the institution's procedures for managing equipment and consumables.      | Activities include: identifying needs for new/revised procedure; undertaking research; analysing work processes; drafting procedure documents; consulting on procedure documents; reviewing draft procedure documents in the light of comments received; trialling procedure; refining procedure as a result of trials; submitting final procedure documents for formal approval; formally approving procedure documents; disseminating procedure documents; reviewing procedure.   | Master copies of procedures relating to the management of equipment and consumables.  |  |  |  |  |

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| <b>EQUIPMENT &amp; CONSUMABLES MANAGEMENT</b> | Equipment & Consumables Selection | The activities involved in selecting equipment and consumables. | Activities include: developing specifications of requirements; identifying sources of supply; evaluating and selecting items. | Records documenting the development of specifications for, and the selection of, equipment/consumables: major items   |  |  |  |  |
| <b>EQUIPMENT &amp; CONSUMABLES MANAGEMENT</b> | Equipment & Consumables Selection | The activities involved in selecting equipment and consumables. | Activities include: developing specifications of requirements; identifying sources of supply; evaluating and selecting items. | Records documenting the development of specifications for, and the selection of, equipment/consumables: items which are safety critical or associated with hazardous operations |  |  |  |  |
| <b>EQUIPMENT &amp; CONSUMABLES MANAGEMENT</b> | Equipment & Consumables Selection | The activities involved in selecting equipment and consumables. | Activities include: developing specifications of requirements; identifying sources of supply; evaluating and selecting items. | Records documenting the development of specifications for, and the selection of, equipment/consumables: other items   |  |  |  |  |

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| <b>EQUIPMENT &amp; CONSUMABLES MANAGEMENT</b> | Equipment & Consumables Storage | The activities involved in storing equipment and consumables. | Activities include: monitoring storage conditions to ensure compliance with technical standards and/or legislation; monitoring the condition of items held in storage; maintaining the stock inventory; monitoring and maintaining stock levels; controlling the allocation/issue of items from storage. | Records documenting the monitoring of the condition of stored equipment/consumables. |  |  |  |  |
| <b>EQUIPMENT &amp; CONSUMABLES MANAGEMENT</b> | Equipment & Consumables Storage | The activities involved in storing equipment and consumables. | Activities include: monitoring storage conditions to ensure compliance with technical standards and/or legislation; monitoring the condition of items held in storage; maintaining the stock inventory; monitoring and maintaining stock levels; controlling the allocation/issue of items from storage. | Records documenting the stock inventory for equipment/consumables.                   |  |  |  |  |
| <b>EQUIPMENT &amp; CONSUMABLES MANAGEMENT</b> | Equipment & Consumables Storage | The activities involved in storing equipment and consumables. | Activities include: monitoring storage conditions to ensure compliance with technical standards and/or legislation; monitoring the condition of items held in storage; maintaining the stock inventory; monitoring and maintaining stock levels; controlling the allocation/issue of items from storage. | Records documenting routine stocktaking and stock checking.                          |  |  |  |  |

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| <b>EQUIPMENT &amp; CONSUMABLES MANAGEMENT</b> | Equipment & Consumables Storage      | The activities involved in storing equipment and consumables.  | Activities include: monitoring storage conditions to ensure compliance with technical standards and/or legislation; monitoring the condition of items held in storage; maintaining the stock inventory; monitoring and maintaining stock levels; controlling the allocation/issue of items from storage. | Records documenting the movement of stock into and from storage.  |  |  |  |  |
| <b>EQUIPMENT &amp; CONSUMABLES MANAGEMENT</b> | Equipment Installation/Commissioning | The activities involved in installing/commissioning equipment. | Activities include: conducting pre-commissioning inspections/examinations/tests; conducting post-installation inspections/examinations/tests to ensure compliance with technical standards and/or legal requirements.  | Records documenting the installation of equipment: major items.   |  |  |  |  |
| <b>EQUIPMENT &amp; CONSUMABLES MANAGEMENT</b> | Equipment Installation/Commissioning | The activities involved in installing/commissioning equipment. | Activities include: conducting pre-commissioning inspections/examinations/tests; conducting post-installation inspections/examinations/tests to ensure compliance with technical standards and/or legal requirements.  | Records documenting the installation of equipment: items which are safety critical or associated with hazardous operations. |  |  |  |  |

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| <b>EQUIPMENT &amp; CONSUMABLES MANAGEMENT</b> | Equipment Installation/Commissioning | The activities involved in installing/commissioning equipment. | Activities include: conducting pre-commissioning inspections/examinations/tests; conducting post-installation inspections/examinations/tests to ensure compliance with technical standards and/or legal requirements. | Records documenting the installation of equipment: other items.  |  |  |  |  |
| <b>EQUIPMENT &amp; CONSUMABLES MANAGEMENT</b> | Equipment Installation/Commissioning | The activities involved in installing/commissioning equipment. | Activities include: conducting pre-commissioning inspections/examinations/tests; conducting post-installation inspections/examinations/tests to ensure compliance with technical standards and/or legal requirements. | Health and Safety File for fixed plant which is a 'structure' as defined in Regulation 2 of the Construction (Design and Management) Regulations 1994 (SI 1994/3140).                    |  |  |  |  |
| <b>EQUIPMENT &amp; CONSUMABLES MANAGEMENT</b> | Equipment Installation/Commissioning | The activities involved in installing/commissioning equipment. | Activities include: conducting pre-commissioning inspections/examinations/tests; conducting post-installation inspections/examinations/tests to ensure compliance with technical standards and/or legal requirements. | Reports of pre-commissioning examinations of lifting equipment, as required by Regulation 9(1) and 9(2) of the Lifting Operations and Lifting Equipment Regulations 1998 (SI 1998/2307). |  |  |  |  |

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| <b>EQUIPMENT &amp; CONSUMABLES MANAGEMENT</b> | Equipment Installation/Commissioning        | The activities involved in installing/commissioning equipment.  | Activities include: conducting pre-commissioning inspections/examinations/tests; conducting post-installation inspections/examinations/tests to ensure compliance with technical standards and/or legal requirements. | Reports of pre-commissioning examinations of accessories for lifting, as required Regulation 9(1) of the Lifting Operations and Lifting Equipment Regulations 1998 (SI 1998/2307). |  |  |  |  |
| <b>EQUIPMENT &amp; CONSUMABLES MANAGEMENT</b> | Equipment Inspection, Testing & Maintenance | The activities involved in maintaining the institution's equipment in sound working order to ensure compliance with legislation, technical standards etc. | Activities include: conducting inspections and tests at planned or required intervals; undertaking planned preventive maintenance; repairing or modifying equipment in response to reported problems.                 | Records documenting the inspection, testing and maintenance of equipment, except as specified elsewhere.   |  |  |  |  |
| <b>EQUIPMENT &amp; CONSUMABLES MANAGEMENT</b> | Equipment Inspection, Testing & Maintenance | The activities involved in maintaining the institution's equipment in sound working order to ensure compliance with legislation, technical standards etc. | Activities include: conducting inspections and tests at planned or required intervals; undertaking planned preventive maintenance; repairing or modifying equipment in response to reported problems.                 | Records documenting the inspection, testing and maintenance of equipment: major items other than those specified elsewhere.  |  |  |  |  |

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| <b>EQUIPMENT &amp; CONSUMABLES MANAGEMENT</b> | Equipment Inspection, Testing & Maintenance | The activities involved in maintaining the institution's equipment in sound working order to ensure compliance with legislation, technical standards etc. | Activities include: conducting inspections and tests at planned or required intervals; undertaking planned preventive maintenance; repairing or modifying equipment in response to reported problems. | Maintenance logs for equipment   |  |  |  |  |
| <b>EQUIPMENT &amp; CONSUMABLES MANAGEMENT</b> | Equipment Inspection, Testing & Maintenance | The activities involved in maintaining the institution's equipment in sound working order to ensure compliance with legislation, technical standards etc. | Activities include: conducting inspections and tests at planned or required intervals; undertaking planned preventive maintenance; repairing or modifying equipment in response to reported problems. | Records documenting inspections of equipment, made under Regulation 6 of the Provision and Use of Work Equipment Regulations 1998 (SI 1998/2306).      |  |  |  |  |
| <b>EQUIPMENT &amp; CONSUMABLES MANAGEMENT</b> | Equipment Inspection, Testing & Maintenance | The activities involved in maintaining the institution's equipment in sound working order to ensure compliance with legislation, technical standards etc. | Activities include: conducting inspections and tests at planned or required intervals; undertaking planned preventive maintenance; repairing or modifying equipment in response to reported problems. | Records documenting the inspection, testing and maintenance of equipment: items which are safety critical or are associated with hazardous operations. |  |  |  |  |



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| <b>EQUIPMENT &amp; CONSUMABLES MANAGEMENT</b> | Equipment Inspection, Testing & Maintenance | The activities involved in maintaining the institution's equipment in sound working order to ensure compliance with legislation, technical standards etc. | Activities include: conducting inspections and tests at planned or required intervals; undertaking planned preventive maintenance; repairing or modifying equipment in response to reported problems. | Records documenting the examination, testing and repair of plant and equipment provided to control exposure to substances hazardous to health, as required by Regulation 9 of the Control of Substances Hazardous to Health Regulations 2002 (SI 2002/2677). |  |  |  |  |
| <b>EQUIPMENT &amp; CONSUMABLES MANAGEMENT</b> | Equipment Inspection, Testing & Maintenance | The activities involved in maintaining the institution's equipment in sound working order to ensure compliance with legislation, technical standards etc. | Activities include: conducting inspections and tests at planned or required intervals; undertaking planned preventive maintenance; repairing or modifying equipment in response to reported problems. | Records documenting the examination, testing and repair of plant and equipment provided to control exposure to asbestos, as required by Regulation 13 of the Control of Asbestos Regulations 2006 (SI 2006/2739).  |  |  |  |  |
| <b>EQUIPMENT &amp; CONSUMABLES MANAGEMENT</b> | Equipment Inspection, Testing & Maintenance | The activities involved in maintaining the institution's equipment in sound working order to ensure compliance with legislation, technical standards etc. | Activities include: conducting inspections and tests at planned or required intervals; undertaking planned preventive maintenance; repairing or modifying equipment in response to reported problems. | Records documenting the examination, testing and repair of plant and equipment provided to control exposure to lead, as required by Regulation 8 of the Control of Lead at Work Regulations 2002 (SI 2002/2676).   |  |  |  |  |

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| <b>EQUIPMENT &amp; CONSUMABLES MANAGEMENT</b> | Equipment Inspection, Testing & Maintenance | The activities involved in maintaining the institution's equipment in sound working order to ensure compliance with legislation, technical standards etc. | Activities include: conducting inspections and tests at planned or required intervals; undertaking planned preventive maintenance; repairing or modifying equipment in response to reported problems. | Records documenting the examination, testing and repair of personal protective equipment provided to control exposure to ionising radiation, as required by Regulation 10(2) of the Ionising Radiations Regulations 1999 (SI 1999/3232). |  |  |  |  |
| <b>EQUIPMENT &amp; CONSUMABLES MANAGEMENT</b> | Equipment Inspection, Testing & Maintenance | The activities involved in maintaining the institution's equipment in sound working order to ensure compliance with legislation, technical standards etc. | Activities include: conducting inspections and tests at planned or required intervals; undertaking planned preventive maintenance; repairing or modifying equipment in response to reported problems. | Records documenting the examination, testing and repair of other equipment provided to control exposure to ionising radiation, as required by Regulation 10(1) of the Ionising Radiations Regulations 1999 (SI 1999/3232).               |  |  |  |  |
| <b>EQUIPMENT &amp; CONSUMABLES MANAGEMENT</b> | Equipment Inspection, Testing & Maintenance | The activities involved in maintaining the institution's equipment in sound working order to ensure compliance with legislation, technical standards etc. | Activities include: conducting inspections and tests at planned or required intervals; undertaking planned preventive maintenance; repairing or modifying equipment in response to reported problems. | Records documenting the maintenance and testing of equipment for monitoring levels of ionising radiation, as required by Regulation 19(2) of the Ionising Radiations Regulations 1999 (SI 1999/3232).                                    |  |  |  |  |

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| <b>EQUIPMENT &amp; CONSUMABLES MANAGEMENT</b> | Equipment Inspection, Testing & Maintenance | The activities involved in maintaining the institution's equipment in sound working order to ensure compliance with legislation, technical standards etc. | Activities include: conducting inspections and tests at planned or required intervals; undertaking planned preventive maintenance; repairing or modifying equipment in response to reported problems.   | Reports of inspection and 'thorough examination' of lifting equipment, as required by Regulation 9 of the Lifting Operations and Lifting Equipment Regulations 1998 (SI 1998/2307). |  |  |  |  |
| <b>EQUIPMENT &amp; CONSUMABLES MANAGEMENT</b> | Equipment & Consumables Disposal            | The activities involved in disposing of surplus or redundant equipment and consumables.   | Activities include: authorising disposal; identifying and evaluating alternative methods of disposal; undertaking cleaning/sanitisation of equipment and consumables prior to disposal; providing any necessary certification (e.g. of safety) or documentation (e.g. maintenance history) to recipients of sold or donated equipment and consumables; where appropriate (e.g. for vehicles), administering transfer of ownership of equipment and consumables and retaining necessary documentation. | Records documenting authorisation for the disposal of equipment/consumables, and the evaluation of alternative methods of disposal.   |  |  |  |  |
| <b>EQUIPMENT &amp; CONSUMABLES MANAGEMENT</b> | Equipment & Consumables Disposal            | The activities involved in disposing of surplus or redundant equipment and consumables.   | Activities include: authorising disposal; identifying and evaluating alternative methods of disposal; undertaking cleaning/sanitisation of equipment and consumables prior to disposal; providing any necessary certification (e.g. of safety) or documentation (e.g. maintenance history) to recipients of sold or donated equipment and consumables; where appropriate (e.g. for vehicles), administering transfer of ownership of equipment and consumables and retaining necessary documentation. | Records documenting the cleaning/sanitisation of equipment/consumables prior to disposal: items used in connection with operations involving substances hazardous to health.        |  |  |  |  |

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| <b>EQUIPMENT &amp; CONSUMABLES MANAGEMENT</b> | Equipment & Consumables Disposal | The activities involved in disposing of surplus or redundant equipment and consumables.                                   | Activities include: authorising disposal; identifying and evaluating alternative methods of disposal; undertaking cleaning/sanitisation of equipment and consumables prior to disposal; providing any necessary certification (e.g. of safety) or documentation (e.g. maintenance history) to recipients of sold or donated equipment and consumables; where appropriate (e.g. for vehicles), administering transfer of ownership of equipment and consumables and retaining necessary documentation. | Records documenting the cleaning/sanitisation of equipment/consumables prior to disposal: other items. |  |  |  |  |
| <b>EQUIPMENT &amp; CONSUMABLES MANAGEMENT</b> | Equipment & Consumables Disposal | The activities involved in disposing of surplus or redundant equipment and consumables.                                   | Activities include: authorising disposal; identifying and evaluating alternative methods of disposal; undertaking cleaning/sanitisation of equipment and consumables prior to disposal; providing any necessary certification (e.g. of safety) or documentation (e.g. maintenance history) to recipients of sold or donated equipment and consumables; where appropriate (e.g. for vehicles), administering transfer of ownership of equipment and consumables and retaining necessary documentation. | Records documenting the transfer of ownership of equipment/consumables.                                |  |  |  |  |
| <b>INSURANCE MANAGEMENT</b>                   |                                  | The function of assessing the institution's liabilities and insurance needs, and of maintaining adequate insurance cover. |   |  |  |  |  |  |

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| INSURANCE MANAGEMENT | Insurance Strategy Development | The activities involved in developing and establishing the institution's insurance strategy. | Activities include: identifying requirements for new/revised strategy; undertaking research; developing strategy proposals; consulting on strategy proposals; reviewing and revising strategy proposals in the light of comments received; drafting strategy documents; consulting on strategy documents; reviewing draft strategy documents in the light of comments received; producing final strategy documents; submitting final strategy documents for formal endorsement; formally endorsing strategy documents; disseminating strategy documents; reviewing strategy. | Records documenting the development and establishment of the institution's insurance strategy: key records.    |  |  |  |  |
| INSURANCE MANAGEMENT | Insurance Strategy Development | The activities involved in developing and establishing the institution's insurance strategy. | Activities include: identifying requirements for new/revised strategy; undertaking research; developing strategy proposals; consulting on strategy proposals; reviewing and revising strategy proposals in the light of comments received; drafting strategy documents; consulting on strategy documents; reviewing draft strategy documents in the light of comments received; producing final strategy documents; submitting final strategy documents for formal endorsement; formally endorsing strategy documents; disseminating strategy documents; reviewing strategy. | Records documenting the development and establishment of the institution's insurance strategy: working papers. |  |  |  |  |

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| INSURANCE MANAGEMENT | Insurance Management Policy Development | The activities involved in developing and establishing the institution's policies on insurance. | Activities include: identifying requirements for new/revised policy; undertaking research; developing policy proposals; consulting on policy proposals; reviewing and revising policy proposals in the light of comments received; drafting policy documents; consulting on policy documents; reviewing draft policy documents in the light of comments received; producing final policy documents; submitting final policy documents for formal approval; formally approving policy documents; disseminating policy documents; reviewing policy. | Records documenting the development and establishment of the institution's insurance management policies: key records.    |  |  |  |  |
| INSURANCE MANAGEMENT | Insurance Management Policy Development | The activities involved in developing and establishing the institution's policies on insurance. | Activities include: identifying requirements for new/revised policy; undertaking research; developing policy proposals; consulting on policy proposals; reviewing and revising policy proposals in the light of comments received; drafting policy documents; consulting on policy documents; reviewing draft policy documents in the light of comments received; producing final policy documents; submitting final policy documents for formal approval; formally approving policy documents; disseminating policy documents; reviewing policy. | Records documenting the development and establishment of the institution's insurance management policies: working papers. |  |  |  |  |

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| <b>INSURANCE MANAGEMENT</b> | Insurance Management Procedure Development | The activities involved in developing the institution's procedures for insurance. | Activities include: identifying needs for new/revised procedure; undertaking research; analysing work processes; drafting procedure documents; consulting on procedure documents; reviewing draft procedure documents in the light of comments received; trialling procedure; refining procedure as a result of trials; submitting final procedure documents for formal approval; formally approving procedure documents; disseminating procedure documents; reviewing procedure. | Records documenting the development of the institution's procedures relating to the management of insurance cover and claims.                                       |  |  |  |  |
| <b>INSURANCE MANAGEMENT</b> | Insurance Management Procedure Development | The activities involved in developing the institution's procedures for insurance. | Activities include: identifying needs for new/revised procedure; undertaking research; analysing work processes; drafting procedure documents; consulting on procedure documents; reviewing draft procedure documents in the light of comments received; trialling procedure; refining procedure as a result of trials; submitting final procedure documents for formal approval; formally approving procedure documents; disseminating procedure documents; reviewing procedure. | Master copies of procedures relating to the management of insurance cover and claims.   |  |  |  |  |
| <b>INSURANCE MANAGEMENT</b> | Insurance Policy Management                | The activities involved in establishing and maintaining insurance policies.       | Activities include: selecting, reviewing, renewing, amending and terminating insurance policies; liaising with insurers.  | Records documenting the arrangement and renewal of insurance policies: employers' liability insurance.<br><br>See also Employers' Liability Insurance Certificates. |  |  |  |  |

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| INSURANCE MANAGEMENT | Insurance Policy Management    | The activities involved in establishing and maintaining insurance policies.                              | Activities include: selecting, reviewing, renewing, amending and terminating insurance policies; liaising with insurers. | Employers' Liability Insurance Certificates   |     |  |  |  |
| INSURANCE MANAGEMENT | Insurance Policy Management    | The activities involved in establishing and maintaining insurance policies.                              | Activities include: selecting, reviewing, renewing, amending and terminating insurance policies; liaising with insurers. | Records documenting the arrangement and renewal of insurance policies: all other insurance. |     |  |  |  |
| INSURANCE MANAGEMENT | Insurance Claim Administration | The activities involved in administering the review and settlement of claims against insurance policies. | Activities include: reviewing claims; liaising with insurers and claimants.  | Records documenting claims, and the outcomes of claims, against insurance policies.         | Yes | Article 6 S.1 (b), necessary for the performance of a contract to which the data subject is party<br>Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject<br>Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller<br>[University Charter] |  |  |



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| PROCUREMENT |                                  | The function of purchasing goods, works and services from external organisations.              |  |  |  |  |  |  |
| PROCUREMENT | Procurement Strategy Development | The activities involved in developing and establishing the institution's procurement strategy. | Activities include: identifying requirements for new/revised strategy; undertaking research; developing strategy proposals; consulting on strategy proposals; reviewing and revising strategy proposals in the light of comments received; drafting strategy documents; consulting on strategy documents; reviewing draft strategy documents in the light of comments received; producing final strategy documents; submitting final strategy documents for formal endorsement; formally endorsing strategy documents; disseminating strategy documents; reviewing strategy. | Records documenting the development and establishment of the institution's procurement strategy: key records.    |  |  |  |  |
| PROCUREMENT | Procurement Strategy Development | The activities involved in developing and establishing the institution's procurement strategy. | Activities include: identifying requirements for new/revised strategy; undertaking research; developing strategy proposals; consulting on strategy proposals; reviewing and revising strategy proposals in the light of comments received; drafting strategy documents; consulting on strategy documents; reviewing draft strategy documents in the light of comments received; producing final strategy documents; submitting final strategy documents for formal endorsement; formally endorsing strategy documents; disseminating strategy documents; reviewing strategy. | Records documenting the development and establishment of the institution's procurement strategy: working papers. |  |  |  |  |

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| PROCUREMENT | Procurement Policy Development | The activities involved in developing and establishing the institution's policies on procurement. | Activities include: identifying requirements for new/revised policy; undertaking research; developing policy proposals; consulting on policy proposals; reviewing and revising policy proposals in the light of comments received; drafting policy documents; consulting on policy documents; reviewing draft policy documents in the light of comments received; producing final policy documents; submitting final policy documents for formal approval; formally approving policy documents; disseminating policy documents; reviewing policy. | Records documenting the development and establishment of the institution's procurement policies: key records.    |  |  |  |  |
| PROCUREMENT | Procurement Policy Development | The activities involved in developing and establishing the institution's policies on procurement. | Activities include: identifying requirements for new/revised policy; undertaking research; developing policy proposals; consulting on policy proposals; reviewing and revising policy proposals in the light of comments received; drafting policy documents; consulting on policy documents; reviewing draft policy documents in the light of comments received; producing final policy documents; submitting final policy documents for formal approval; formally approving policy documents; disseminating policy documents; reviewing policy. | Records documenting the development and establishment of the institution's procurement policies: working papers. |  |  |  |  |

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| PROCUREMENT | Procurement Procedure Development | The activities involved in developing the institution's procedures for procurement.  | Activities include: identifying needs for new/revised procedure; undertaking research; analysing work processes; drafting procedure documents; consulting on procedure documents; reviewing draft procedure documents in the light of comments received; trialling procedure; refining procedure as a result of trials; submitting final procedure documents for formal approval; formally approving procedure documents; disseminating procedure documents; reviewing procedure. | Records documenting the development of the institution's procedures relating to the management of procurement. |  |  |  |  |
| PROCUREMENT | Procurement Procedure Development | The activities involved in developing the institution's procedures for procurement.  | Activities include: identifying needs for new/revised procedure; undertaking research; analysing work processes; drafting procedure documents; consulting on procedure documents; reviewing draft procedure documents in the light of comments received; trialling procedure; refining procedure as a result of trials; submitting final procedure documents for formal approval; formally approving procedure documents; disseminating procedure documents; reviewing procedure. | Master copies of procedures relating to the management of procurement.   |  |  |  |  |
| PROCUREMENT | Supplier Approval                 | The activities involved in approving organisations or individuals as suppliers of goods, works or services to the institution. | Activities include: issuing invitations to apply for approval; evaluating applications for approval; notifying applicants of evaluation outcomes.   | Records documenting supplier evaluation criteria.  |  |  |  |  |

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| PROCUREMENT | Supplier Approval | The activities involved in approving organisations or individuals as suppliers of goods, works or services to the institution. | Activities include: issuing invitations to apply for approval; evaluating applications for approval; notifying applicants of evaluation outcomes. | Records documenting invitations to prospective suppliers to apply for approval.   | Yes | Article 6 S.1 (b), necessary for the performance of a contract to which the data subject is party<br>Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject<br>Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller<br>[University Charter] |  |  |
| PROCUREMENT | Supplier Approval | The activities involved in approving organisations or individuals as suppliers of goods, works or services to the institution. | Activities include: issuing invitations to apply for approval; evaluating applications for approval; notifying applicants of evaluation outcomes. | Records documenting the evaluation of applications for approval from prospective suppliers, and notification of the outcome : approved suppliers. | Yes | Article 6 S.1 (b), necessary for the performance of a contract to which the data subject is party<br>Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject<br>Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller<br>[University Charter] |  |  |
| PROCUREMENT | Supplier Approval | The activities involved in approving organisations or individuals as suppliers of goods, works or services to the institution. | Activities include: issuing invitations to apply for approval; evaluating applications for approval; notifying applicants of evaluation outcomes. | Records documenting the evaluation of applications for approval from prospective suppliers, and notification of the outcome : rejected suppliers. | Yes | Article 6 S.1 (b), necessary for the performance of a contract to which the data subject is party<br>Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject<br>Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller<br>[University Charter] |  |  |

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| PROCUREMENT | Supplier Approval  | The activities involved in approving organisations or individuals as suppliers of goods, works or services to the institution. | Activities include: issuing invitations to apply for approval; evaluating applications for approval; notifying applicants of evaluation outcomes.   | Supplier database  | Yes | Article 6 S.1 (b), necessary for the performance of a contract to which the data subject is party<br>Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject<br>Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller<br>[University Charter] |  |  |
| PROCUREMENT | Contract Tendering | The activities involved in tendering contracts for the supply of goods, works or services to the institution.                  | Activities include: preparing Invitations to Tender (ITT); defining tender evaluation and selection criteria; issuing ITTs; controlling the receipt and opening of tenders; evaluating tenders; negotiating and awarding contracts; reporting and publishing information about contracts awarded, where this is required by legislation | Records documenting the process of inviting and evaluating pre-qualification submissions from prospective suppliers. | Yes | Article 6 S.1 (b), necessary for the performance of a contract to which the data subject is party<br>Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject<br>Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller<br>[University Charter] |  |  |
| PROCUREMENT | Contract Tendering | The activities involved in tendering contracts for the supply of goods, works or services to the institution.                  | Activities include: preparing Invitations to Tender (ITT); defining tender evaluation and selection criteria; issuing ITTs; controlling the receipt and opening of tenders; evaluating tenders; negotiating and awarding contracts; reporting and publishing information about contracts awarded, where this is required by legislation | Records documenting Invitations to Tender and tender evaluation criteria.  | Yes | Article 6 S.1 (b), necessary for the performance of a contract to which the data subject is party<br>Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject<br>Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller<br>[University Charter] |  |  |

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| PROCUREMENT | Contract Tendering | The activities involved in tendering contracts for the supply of goods, works or services to the institution. | Activities include: preparing Invitations to Tender (ITT); defining tender evaluation and selection criteria; issuing ITTs; controlling the receipt and opening of tenders; evaluating tenders; negotiating and awarding contracts; reporting and publishing information about contracts awarded, where this is required by legislation | Records documenting the issue of Invitations to Tender and handling of incoming tenders.  | Yes | Article 6 S.1 (b), necessary for the performance of a contract to which the data subject is party<br>Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject<br>Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller<br>[University Charter] |  |  |
| PROCUREMENT | Contract Tendering | The activities involved in tendering contracts for the supply of goods, works or services to the institution. | Activities include: preparing Invitations to Tender (ITT); defining tender evaluation and selection criteria; issuing ITTs; controlling the receipt and opening of tenders; evaluating tenders; negotiating and awarding contracts; reporting and publishing information about contracts awarded, where this is required by legislation | Records documenting the evaluation of tenders, the conduct of negotiations with tenderers and the notification of the results of the tender evaluation process: rejected tenders. | Yes | Article 6 S.1 (b), necessary for the performance of a contract to which the data subject is party<br>Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject<br>Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller<br>[University Charter] |  |  |
| PROCUREMENT | Contract Tendering | The activities involved in tendering contracts for the supply of goods, works or services to the institution. | Activities include: preparing Invitations to Tender (ITT); defining tender evaluation and selection criteria; issuing ITTs; controlling the receipt and opening of tenders; evaluating tenders; negotiating and awarding contracts; reporting and publishing information about contracts awarded, where this is required by legislation | Records documenting the evaluation of tenders, the conduct of negotiations with tenderers and the notification of the results of the tender evaluation process: accepted tenders. | Yes | Article 6 S.1 (b), necessary for the performance of a contract to which the data subject is party<br>Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject<br>Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller<br>[University Charter] |  |  |

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|-------------|--------------------|---|---|--|-----|--|--|--|
| PROCUREMENT | Contract Tendering | The activities involved in tendering contracts for the supply of goods, works or services to the institution. | Activities include: preparing Invitations to Tender (ITT); defining tender evaluation and selection criteria; issuing ITTs; controlling the receipt and opening of tenders; evaluating tenders; negotiating and awarding contracts; reporting and publishing information about contracts awarded, where this is required by legislation | Contract award notices sent to the Official Journal, as required by Regulation 31 of the Public Contracts Regulations 2006 (SI 2006/5) or by Regulation 31 of the Public Contracts (Scotland) Regulations 2006 (SSI 2006/1)  | Yes | Article 6 S.1 (b), necessary for the performance of a contract to which the data subject is party<br>Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject<br>Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller<br>[University Charter] |  |  |
| PROCUREMENT | Contract Tendering | The activities involved in tendering contracts for the supply of goods, works or services to the institution. | Activities include: preparing Invitations to Tender (ITT); defining tender evaluation and selection criteria; issuing ITTs; controlling the receipt and opening of tenders; evaluating tenders; negotiating and awarding contracts; reporting and publishing information about contracts awarded, where this is required by legislation | Records documenting contracts awarded, containing the information specified in Regulation 32 (14) of the Public Contracts Regulations 2006 (SI 2006/5) or by Regulation 32(14) of the Public Contracts (Scotland) Regulations 2006 (SSI 2006/1)  | Yes | Article 6 S.1 (b), necessary for the performance of a contract to which the data subject is party<br>Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject<br>Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller<br>[University Charter] |  |  |
| PROCUREMENT | Contract Tendering | The activities involved in tendering contracts for the supply of goods, works or services to the institution. | Activities include: preparing Invitations to Tender (ITT); defining tender evaluation and selection criteria; issuing ITTs; controlling the receipt and opening of tenders; evaluating tenders; negotiating and awarding contracts; reporting and publishing information about contracts awarded, where this is required by legislation | Statistical and other reports on contracts awarded prepared for the Office of Government Commerce, as required by Regulation 40 of the Public Contracts Regulations 2006 (SI 2006/5) or for the Scottish Ministers, as required by the Public Contracts (Scotland) Regulations 2006 (SSI 2006/1) | Yes | Article 6 S.1 (b), necessary for the performance of a contract to which the data subject is party<br>Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject<br>Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller<br>[University Charter] |  |  |

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| PROCUREMENT | Purchasing | The activities involved in purchasing goods, works or services for the institution without tendering contracts. | Activities include: setting purchasing authorisation limits; authorising purchasing; obtaining quotations or estimates; ordering; receiving and checking that goods, works or services are delivered as required. | Records documenting purchasing authorisation limits.        | Yes | Article 6 S.1 (b), necessary for the performance of a contract to which the data subject is party<br>Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject<br>Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller<br>[University Charter] |  |  |
| PROCUREMENT | Purchasing | The activities involved in purchasing goods, works or services for the institution without tendering contracts. | Activities include: setting purchasing authorisation limits; authorising purchasing; obtaining quotations or estimates; ordering; receiving and checking that goods, works or services are delivered as required. | Records documenting internal authorisation for procurement. | Yes | Article 6 S.1 (b), necessary for the performance of a contract to which the data subject is party<br>Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject<br>Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller<br>[University Charter] |  |  |
| PROCUREMENT | Purchasing | The activities involved in purchasing goods, works or services for the institution without tendering contracts. | Activities include: setting purchasing authorisation limits; authorising purchasing; obtaining quotations or estimates; ordering; receiving and checking that goods, works or services are delivered as required. | Purchase Orders   | Yes | Article 6 S.1 (b), necessary for the performance of a contract to which the data subject is party<br>Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject<br>Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller<br>[University Charter] |  |  |



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| PROCUREMENT | Purchasing          | The activities involved in purchasing goods, works or services for the institution without tendering contracts. | Activities include: setting purchasing authorisation limits; authorising purchasing; obtaining quotations or estimates; ordering; receiving and checking that goods, works or services are delivered as required.                         | Goods Received Notes/Goods Inwards Notes   |     |  |  |  |
| PROCUREMENT | Contract Management | The activities involved in managing contracts for the supply of goods, works or services to the institution.    | Activities include: monitoring supplier performance and taking appropriate action to deal with under-performance; handling complaints/disputes with suppliers; managing the transition of work to/from suppliers, where suppliers change. | Records documenting variations to contracts (e.g. revisions, extensions).                                |     |  |  |  |
| PROCUREMENT | Contract Management | The activities involved in managing contracts for the supply of goods, works or services to the institution.    | Activities include: monitoring supplier performance and taking appropriate action to deal with under-performance; handling complaints/disputes with suppliers; managing the transition of work to/from suppliers, where suppliers change. | Records documenting the monitoring of supplier performance and action taken regarding under-performance. | Yes | Article 6 S.1 (b), necessary for the performance of a contract to which the data subject is party<br>Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject<br>Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller<br>[University Charter] |  |  |

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| PUBLISHING |                     | The function of publishing materials for internal or external distribution.                   |  |   |  |  |  |  |
| PUBLISHING | Publishing Strategy | The activities involved in developing and establishing the institution's publishing strategy. | Activities include: identifying requirements for new/revised strategy; undertaking research; developing strategy proposals; consulting on strategy proposals; reviewing and revising strategy proposals in the light of comments received; drafting strategy documents; consulting on strategy documents; reviewing draft strategy documents in the light of comments received; producing final strategy documents; submitting final strategy documents for formal endorsement; formally endorsing strategy documents; disseminating strategy documents; reviewing strategy. | Records documenting the development and establishment of the institution's publishing strategy: key records.    |  |  |  |  |
| PUBLISHING | Publishing Strategy | The activities involved in developing and establishing the institution's publishing strategy. | Activities include: identifying requirements for new/revised strategy; undertaking research; developing strategy proposals; consulting on strategy proposals; reviewing and revising strategy proposals in the light of comments received; drafting strategy documents; consulting on strategy documents; reviewing draft strategy documents in the light of comments received; producing final strategy documents; submitting final strategy documents for formal endorsement; formally endorsing strategy documents; disseminating strategy documents; reviewing strategy. | Records documenting the development and establishment of the institution's publishing strategy: working papers. |  |  |  |  |

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| <b>PUBLISHING</b> | Publishing Policy | The activities involved in developing and establishing the institution's policies on publishing. | Activities include: identifying requirements for new/revised policy; undertaking research; developing policy proposals; consulting on policy proposals; reviewing and revising policy proposals in the light of comments received; drafting policy documents; consulting on policy documents; reviewing draft policy documents in the light of comments received; producing final policy documents; submitting final policy documents for formal approval; formally approving policy documents; disseminating policy documents; reviewing policy. | Records documenting the development and establishment of the institution's publishing policies: key records.    |  |  |  |  |
| <b>PUBLISHING</b> | Publishing Policy | The activities involved in developing and establishing the institution's policies on publishing. | Activities include: identifying requirements for new/revised policy; undertaking research; developing policy proposals; consulting on policy proposals; reviewing and revising policy proposals in the light of comments received; drafting policy documents; consulting on policy documents; reviewing draft policy documents in the light of comments received; producing final policy documents; submitting final policy documents for formal approval; formally approving policy documents; disseminating policy documents; reviewing policy. | Records documenting the development and establishment of the institution's publishing policies: working papers. |  |  |  |  |

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| <b>PUBLISHING</b> | Publishing Procedure   | The activities involved in developing the institution's procedures for publishing. | Activities include: identifying needs for new/revised procedure; undertaking research; analysing work processes; drafting procedure documents; consulting on procedure documents; reviewing draft procedure documents in the light of comments received; trialling procedure; refining procedure as a result of trials; submitting final procedure documents for formal approval; formally approving procedure documents; disseminating procedure documents; reviewing procedure. | Records documenting the development of the institution's procedures relating to the management of publishing. |     |  |  |  |
| <b>PUBLISHING</b> | Publishing Procedure   | The activities involved in developing the institution's procedures for publishing. | Activities include: identifying needs for new/revised procedure; undertaking research; analysing work processes; drafting procedure documents; consulting on procedure documents; reviewing draft procedure documents in the light of comments received; trialling procedure; refining procedure as a result of trials; submitting final procedure documents for formal approval; formally approving procedure documents; disseminating procedure documents; reviewing procedure. | Master copies of procedures relating to the management of publishing.   |     |  |  |  |
| <b>PUBLISHING</b> | Publication Production | The activities involved in producing publications.                                 | Activities include: planning and preparing content (commissioning, research, writing, editing) for publication; designing publications; producing publications.   | Records documenting the design, commissioning, editing and production of publications.                        | Yes | Article 6 S.1 (b), necessary for the performance of a contract to which the data subject is party<br>Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject<br>Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller<br>[University Charter] |  |  |

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| <b>PUBLISHING</b>  | Publication Distribution | The activities involved in distributing publications internally or externally.   | Activities include: drawing up plans for proactive distribution of publications; responding to requests for distribution of publications. | Records documenting the distribution of publications.                    | Yes | Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller<br>[University Charter] |  |  |
| <b>PUBLISHING</b>  | Publication Marketing    | The activities involved in marketing publications.   | Activities include: organising review of publications in appropriate journals; producing and distributing marketing materials.            | Records documenting the development of marketing plans for publications. | Yes | Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller<br>[University Charter] |  |  |
| <b>MANAGEMENT<br/>INFORMATION<br/>COLLECTION, ANALYSIS &amp;<br/>REPORTING</b> |                          | The function of collecting and maintaining management information, and of producing management information reports for internal use. |   |  |     |   |  |  |

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| <b>MANAGEMENT INFORMATION COLLECTION, ANALYSIS &amp; REPORTING</b> | Management Information Collection           | The activities involved in collecting and maintaining management information.      | Activities include: specifying data to be submitted for central collation and maintenance; creating and maintaining central data sets.                   | Dataset specifications and protocols for submission and collation of data. | Yes | Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject<br>Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller<br>[University Charter] | Potentially | Article 9 S.2 (b), necessary for the purposes of carrying out the obligations and exercising specific rights of the controller or of the data subject in the field of employment and social security and social protection law in so far as it is authorised by Union or Member State law or a collective agreement pursuant to Member State law providing for appropriate safeguards for the fundamental rights and the interests of the data subject.<br>Article 9 S.2 (g) necessary for reasons of substantial public interest, on the basis of Union or Member State law which shall be proportionate to the aim pursued, respect the essence of the right to data protection and provide for suitable and specific measures to safeguard the fundamental rights and the interests of the data subject |
| <b>MANAGEMENT INFORMATION COLLECTION, ANALYSIS &amp; REPORTING</b> | Management Information Analysis & Reporting | The activities involved in analysing management information and producing reports. | Activities include: producing standard, routine analyses and reports; producing customised, ad hoc analyses and reports to meet individual requirements. | Management information reports   | Yes | Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject<br>Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller<br>[University Charter] | Potentially | Article 9 S.2 (b), necessary for the purposes of carrying out the obligations and exercising specific rights of the controller or of the data subject in the field of employment and social security and social protection law in so far as it is authorised by Union or Member State law or a collective agreement pursuant to Member State law providing for appropriate safeguards for the fundamental rights and the interests of the data subject.<br>Article 9 S.2 (g) necessary for reasons of substantial public interest, on the basis of Union or Member State law which shall be proportionate to the aim pursued, respect the essence of the right to data protection and provide for suitable and specific measures to safeguard the fundamental rights and the interests of the data subject |

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| <b>PUBLIC RELATIONS<br/>MANAGEMENT</b> |                                       | The function of raising and maintaining the institution's public profile, and of managing its relationships with the public. |  |  |  |  |  |  |
| <b>PUBLIC RELATIONS<br/>MANAGEMENT</b> | Public Relations Strategy Development | The activities involved in developing and establishing the institution's public relations strategy.                          | Activities include: identifying requirements for new/revised strategy; undertaking research; developing strategy proposals; consulting on strategy proposals; reviewing and revising strategy proposals in the light of comments received; drafting strategy documents; consulting on strategy documents; reviewing draft strategy documents in the light of comments received; producing final strategy documents; submitting final strategy documents for formal endorsement; formally endorsing strategy documents; disseminating strategy documents; reviewing strategy. | Records documenting the development and establishment of the institution's public relations strategy: key records. |  |  |  |  |

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| <b>PUBLIC RELATIONS<br/>MANAGEMENT</b> | Public Relations Strategy<br>Development | The activities involved in<br>developing and establishing<br>the institution's public<br>relations strategy.             | Activities include: identifying<br>requirements for<br>new/revised strategy;<br>undertaking research;<br>developing strategy<br>proposals; consulting on<br>strategy proposals;<br>reviewing and revising<br>strategy proposals in the<br>light of comments received;<br>drafting strategy<br>documents; consulting on<br>strategy documents;<br>reviewing draft strategy<br>documents in the light of<br>comments received;<br>producing final strategy<br>documents; submitting final<br>strategy documents for<br>formal endorsement;<br>formally endorsing strategy<br>documents; disseminating<br>strategy documents;<br>reviewing strategy. | Records documenting the<br>development and<br>establishment of the<br>institution's public relations<br>strategy: working papers. |  |  |  |  |
| <b>PUBLIC RELATIONS<br/>MANAGEMENT</b> | Public Relations Policy<br>Development   | The activities involved in<br>developing and establishing<br>the institution's policies on<br>managing public relations. | Activities include: identifying<br>requirements for<br>new/revised policy;<br>undertaking research;<br>developing policy proposals;<br>consulting on policy<br>proposals; reviewing and<br>revising policy proposals in<br>the light of comments<br>received; drafting policy<br>documents; consulting on<br>policy documents; reviewing<br>draft policy documents in<br>the light of comments<br>received; producing final<br>policy documents;<br>submitting final policy<br>documents for formal<br>approval; formally<br>approving policy<br>documents; disseminating<br>policy documents; reviewing<br>policy.                               | Records documenting the<br>development and<br>establishment of the<br>institution's public relations<br>policies: key records.    |  |  |  |  |



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| <b>PUBLIC RELATIONS MANAGEMENT</b> | Public Relations Policy Development    | The activities involved in developing and establishing the institution's policies on managing public relations. | Activities include: identifying requirements for new/revised policy; undertaking research; developing policy proposals; consulting on policy proposals; reviewing and revising policy proposals in the light of comments received; drafting policy documents; consulting on policy documents; reviewing draft policy documents in the light of comments received; producing final policy documents; submitting final policy documents for formal approval; formally approving policy documents; disseminating policy documents; reviewing policy. | Records documenting the development and establishment of the institution's public relations policies: working papers. |  |  |  |  |
| <b>PUBLIC RELATIONS MANAGEMENT</b> | Public Relations Procedure Development | The activities involved in developing the institution's procedures for managing public relations.               | Activities include: identifying needs for new/revised procedure; undertaking research; analysing work processes; drafting procedure documents; consulting on procedure documents; reviewing draft procedure documents in the light of comments received; trialling procedure; refining procedure as a result of trials; submitting final procedure documents for formal approval; formally approving procedure documents; disseminating procedure documents; reviewing procedure.   | Records documenting the development of the institution's procedures relating to public relations.                     |  |  |  |  |
| <b>PUBLIC RELATIONS MANAGEMENT</b> | Public Relations Procedure Development | The activities involved in developing the institution's procedures for managing public relations.               | Activities include: identifying needs for new/revised procedure; undertaking research; analysing work processes; drafting procedure documents; consulting on procedure documents; reviewing draft procedure documents in the light of comments received; trialling procedure; refining procedure as a result of trials; submitting final procedure documents for formal approval; formally approving procedure documents; disseminating procedure documents; reviewing procedure.   | Master copies of procedures relating to public relations.   |  |  |  |  |

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| <b>PUBLIC RELATIONS MANAGEMENT</b> | Public Communications Management | The activities involved in managing the institution's communications with the public. | Activities include: handling enquiries, suggestions and complaints from the public; conducting surveys of the public. | Records documenting enquiries from members of the public and the responses provided.  | Yes | Article 6 S.1 (b), necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract. Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject. Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller. [University Charter] |  |  |
| <b>PUBLIC RELATIONS MANAGEMENT</b> | Public Communications Management | The activities involved in managing the institution's communications with the public. | Activities include: handling enquiries, suggestions and complaints from the public.                                   | Records documenting unsolicited feedback from members of the public, the internal handling of this feedback and the responses provided. | Yes | Article 6 S.1 (b), necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract. Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject. Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller. [University Charter] |  |  |
| <b>PUBLIC RELATIONS MANAGEMENT</b> | Public Communications Management | The activities involved in managing the institution's communications with the public. | Activities include: handling enquiries, suggestions and complaints from the public.                                   | Records documenting the design and conduct of public surveys.   | Yes | Article 6 S.1 (a), the data subject has given consent to the processing of his or her personal data for one or more specific purposes. Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller. [University Charter]  |  |  |

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| <b>PUBLIC RELATIONS MANAGEMENT</b> | Public Communications Management | The activities involved in managing the institution's communications with the public. | Activities include: handling enquiries, suggestions and complaints from the public. | Results of public surveys: individual responses  | Yes | Article 6 S.1 (a), the data subject has given consent to the processing of his or her personal data for one or more specific purposes.<br>Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller.<br>[University Charter] |             |  |
| <b>PUBLIC RELATIONS MANAGEMENT</b> | Public Communications Management | The activities involved in managing the institution's communications with the public. | Activities include: handling enquiries, suggestions and complaints from the public. | Results of public surveys: summaries and analyses of responses   |     |  |             |  |
| <b>PUBLIC RELATIONS MANAGEMENT</b> | Public Communications Management | The activities involved in managing the institution's communications with the public. | Activities include: handling enquiries, suggestions and complaints from the public. | Records documenting complaints from members of the public, the internal handling of these complaints and the responses provided. | Yes | Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject.  | Potentially | Article 9 S.2 (b), necessary for the purposes of carrying out the obligations and exercising specific rights of the controller or of the data subject in the field of employment and social security and social protection law in so far as it is authorised by Union or Member State law or a collective agreement pursuant to Member State law providing for appropriate safeguards for the fundamental rights and the interests of the data subject.<br>Article 9 S.2 (f), necessary for the establishment, exercise or defence of legal claims or whenever courts are acting in their judicial |

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|------------------------------------|--------------------------|--|--|---|-----|--|--|---|
|                                    |                          |  |  |   |     |  |  | capacity.<br>Article 9 S.2 (g) necessary for reasons of substantial public interest, on the basis of Union or Member State law which shall be proportionate to the aim pursued, respect the essence of the right to data protection and provide for suitable and specific measures to safeguard the fundamental rights and the interests of the data subject. |
| <b>PUBLIC RELATIONS MANAGEMENT</b> | Public Events Management | The activities involved in organising public events held by the institution. | Activities include: determining dates and times; planning programmes; arranging venues, catering, security, transport etc.; issuing invitations; designing publicity materials (e.g. brochures, posters) and arranging production; designing event materials (e.g. delegate packs, menus) and arranging production; organising publicity (e.g. official photography, media coverage); issuing tickets; registering attendees; reviewing events; writing reports on events. | Records documenting the planning and impact/results of public events.     |     |  |  |   |
| <b>PUBLIC RELATIONS MANAGEMENT</b> | Public Events Management | The activities involved in organising public events held by the institution. | Activities include: determining dates and times; planning programmes; arranging venues, catering, security, transport etc.; issuing invitations; designing publicity materials (e.g. brochures, posters) and arranging production; designing event materials (e.g. delegate packs, menus) and arranging production; organising publicity (e.g. official photography, media coverage); issuing tickets; registering attendees; reviewing events; writing reports on events. | Records documenting the organisation and administration of public events. | Yes | Article 6 S.1 (a), the data subject has given consent to the processing of his or her personal data for one or more specific purposes.<br>Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller.<br>[University Charter] |  |   |

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| <b>PUBLIC RELATIONS MANAGEMENT</b> | Official Visits Management | The activities involved in hosting official visits to the institution.                 | Activities include: planning programmes/itineraries; arranging venues, catering, security, transport etc.; arranging publicity (e.g. official photography, media coverage); reviewing events; writing reports on events. | Records documenting the organisation and administration of official visits.  | Yes | Article 6 S.1 (a), the data subject has given consent to the processing of his or her personal data for one or more specific purposes.<br>Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller.<br>[University Charter]   |  |  |
| <b>PUBLIC RELATIONS MANAGEMENT</b> | Sponsorship Management     | The activities involved in officially sponsoring organisations, individuals or events. | Activities include: identifying sponsorship opportunities; negotiating sponsorship deals.  | Records documenting the arrangements for corporate sponsorship of public events by the institution.  | Yes | Article 6 S.1 (b), necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract.<br>Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject.<br>Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller.<br>[University Charter] |  |  |
| <b>PUBLIC RELATIONS MANAGEMENT</b> | Donations Management       | The activities involved in making donations to other organisations or individuals.     | Activities include: identifying potential recipients for materials which the institution wishes to dispose of by donation; liaising with potential donors; officially transferring donated materials.                    | Records documenting the management of the institution's relationship with donors to the institution (other than in response to fundraising campaigns). | Yes | Article 6 S.1 (b), necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract.<br>Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject.<br>Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller.<br>[University Charter] |  |  |

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| <b>PUBLIC RELATIONS<br/>MANAGEMENT</b> | Donations Management                 | The activities involved in making donations to other organisations or individuals.                 | Activities include: identifying potential recipients for materials which the institution wishes to dispose of by donation; liaising with potential donors; officially transferring donated materials.  | Records documenting the process of making donations to third parties.   |  |  |  |  |
| <b>MEDIA RELATIONS<br/>MANAGEMENT</b>  |                                      | The function of managing the institution's relationships with the media.                           |  |   |  |  |  |  |
| <b>MEDIA RELATIONS<br/>MANAGEMENT</b>  | Media Relations Strategy Development | The activities involved in developing and establishing the institution's media relations strategy. | Activities include: identifying requirements for new/revised strategy; undertaking research; developing strategy proposals; consulting on strategy proposals; reviewing and revising strategy proposals in the light of comments received; drafting strategy documents; consulting on strategy documents; reviewing draft strategy documents in the light of comments received; producing final strategy documents; submitting final strategy documents for formal endorsement; formally endorsing strategy documents; disseminating strategy documents; reviewing strategy. | Records documenting the development and establishment of the institution's media relations strategy: key records. |  |  |  |  |

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| <b>MEDIA RELATIONS<br/>MANAGEMENT</b> | Media Relations Strategy<br>Development | The activities involved in<br>developing and establishing<br>the institution's media<br>relations strategy.    | Activities include: identifying<br>requirements for<br>new/revised strategy;<br>undertaking research;<br>developing strategy<br>proposals; consulting on<br>strategy proposals;<br>reviewing and revising<br>strategy proposals in the<br>light of comments received;<br>drafting strategy<br>documents; consulting on<br>strategy documents;<br>reviewing draft strategy<br>documents in the light of<br>comments received;<br>producing final strategy<br>documents; submitting final<br>strategy documents for<br>formal endorsement;<br>formally endorsing strategy<br>documents; disseminating<br>strategy documents;<br>reviewing strategy. | Records documenting the<br>development and<br>establishment of the<br>institution's media relations<br>strategy: working papers. |  |  |  |  |
| <b>MEDIA RELATIONS<br/>MANAGEMENT</b> | Media Relations Policy<br>Development   | The activities involved in<br>developing and establishing<br>the institution's policies on<br>media relations. | Activities include: identifying<br>requirements for<br>new/revised policy;<br>undertaking research;<br>developing policy proposals;<br>consulting on policy<br>proposals; reviewing and<br>revising policy proposals in<br>the light of comments<br>received; drafting policy<br>documents; consulting on<br>policy documents; reviewing<br>draft policy documents in<br>the light of comments<br>received; producing final<br>policy documents;<br>submitting final policy<br>documents for formal<br>approval; formally<br>approving policy<br>documents; disseminating<br>policy documents; reviewing<br>policy.                               | Records documenting the<br>development and<br>establishment of the<br>institution's media relations<br>policies: key records.    |  |  |  |  |

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| <b>MEDIA RELATIONS MANAGEMENT</b> | Media Relations Policy Development    | The activities involved in developing and establishing the institution's policies on media relations. | Activities include: identifying requirements for new/revised policy; undertaking research; developing policy proposals; consulting on policy proposals; reviewing and revising policy proposals in the light of comments received; drafting policy documents; consulting on policy documents; reviewing draft policy documents in the light of comments received; producing final policy documents; submitting final policy documents for formal approval; formally approving policy documents; disseminating policy documents; reviewing policy. | Records documenting the development and establishment of the institution's media relations policies: working papers. |  |  |  |  |
| <b>MEDIA RELATIONS MANAGEMENT</b> | Media Relations Procedure Development | The activities involved in developing the institution's procedures for media relations.               | Activities include: identifying needs for new/revised procedure; undertaking research; analysing work processes; drafting procedure documents; consulting on procedure documents; reviewing draft procedure documents in the light of comments received; trialling procedure; refining procedure as a result of trials; submitting final procedure documents for formal approval; formally approving procedure documents; disseminating procedure documents; reviewing procedure.   | Records documenting the development of the institution's procedures relating to media relations.                     |  |  |  |  |
| <b>MEDIA RELATIONS MANAGEMENT</b> | Media Relations Procedure Development | The activities involved in developing the institution's procedures for media relations.               | Activities include: identifying needs for new/revised procedure; undertaking research; analysing work processes; drafting procedure documents; consulting on procedure documents; reviewing draft procedure documents in the light of comments received; trialling procedure; refining procedure as a result of trials; submitting final procedure documents for formal approval; formally approving procedure documents; disseminating procedure documents; reviewing procedure.   | Master copies of procedures relating to media relations.   |  |  |  |  |



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| <b>MEDIA RELATIONS MANAGEMENT</b> | Media Communications Management | The activities involved in managing the institution's communications with and through the media. | Activities include: developing media contacts; arranging media accreditation; organising media briefings and press conferences; writing and issuing press releases; handling media enquiries; arranging media interviews and other contacts with institutional staff; arranging media coverage of events in, or involving, the institution; co-ordinating the institution's participation in media projects (e.g. programme making). | Records documenting the institution's media contacts.                 | Yes | Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller.<br>[University Charter] |  |  |
| <b>MEDIA RELATIONS MANAGEMENT</b> | Media Communications Management | The activities involved in managing the institution's communications with and through the media. | Activities include: developing media contacts; arranging media accreditation; organising media briefings and press conferences; writing and issuing press releases; handling media enquiries; arranging media interviews and other contacts with institutional staff; arranging media coverage of events in, or involving, the institution; co-ordinating the institution's participation in media projects (e.g. programme making). | Records documenting the planning and organisation of media briefings. |     |  |  |  |
| <b>MEDIA RELATIONS MANAGEMENT</b> | Media Communications Management | The activities involved in managing the institution's communications with and through the media. | Activities include: developing media contacts; arranging media accreditation; organising media briefings and press conferences; writing and issuing press releases; handling media enquiries; arranging media interviews and other contacts with institutional staff; arranging media coverage of events in, or involving, the institution; co-ordinating the institution's participation in media projects (e.g. programme making). | Transcripts of media briefings  |     |  |  |  |

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| <b>MEDIA RELATIONS<br/>MANAGEMENT</b> | Media Communications<br>Management | The activities involved in managing the institution's communications with and through the media. | Activities include:<br>developing media contacts;<br>arranging media accreditation;<br>organising media briefings and press conferences;<br>writing and issuing press releases;<br>handling media enquiries;<br>arranging media interviews and other contacts with institutional staff;<br>arranging media coverage of events in, or involving, the institution;<br>co-ordinating the institution's participation in media projects (e.g. programme making). | Records documenting the planning and organisation of media interviews. |  |  |  |  |
| <b>MEDIA RELATIONS<br/>MANAGEMENT</b> | Media Communications<br>Management | The activities involved in managing the institution's communications with and through the media. | Activities include:<br>developing media contacts;<br>arranging media accreditation;<br>organising media briefings and press conferences;<br>writing and issuing press releases;<br>handling media enquiries;<br>arranging media interviews and other contacts with institutional staff;<br>arranging media coverage of events in, or involving, the institution;<br>co-ordinating the institution's participation in media projects (e.g. programme making). | Transcripts of media interviews  |  |  |  |  |
| <b>MEDIA RELATIONS<br/>MANAGEMENT</b> | Media Communications<br>Management | The activities involved in managing the institution's communications with and through the media. | Activities include:<br>developing media contacts;<br>arranging media accreditation;<br>organising media briefings and press conferences;<br>writing and issuing press releases;<br>handling media enquiries;<br>arranging media interviews and other contacts with institutional staff;<br>arranging media coverage of events in, or involving, the institution;<br>co-ordinating the institution's participation in media projects (e.g. programme making). | Press Releases   |  |  |  |  |

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| <b>MEDIA RELATIONS MANAGEMENT</b> | Media Communications Management | The activities involved in managing the institution's communications with and through the media. | Activities include: developing media contacts; arranging media accreditation; organising media briefings and press conferences; writing and issuing press releases; handling media enquiries; arranging media interviews and other contacts with institutional staff; arranging media coverage of events in, or involving, the institution; co-ordinating the institution's participation in media projects (e.g. programme making). | Records documenting media enquiries, the internal handling of these enquiries and responses provided. | Yes | Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller.<br>[University Charter] |  |  |
| <b>MEDIA RELATIONS MANAGEMENT</b> | Media Monitoring                | The activities involved in monitoring media coverage of the institution.                         | Activities include: compiling summaries of media coverage; analysing and preparing reports on media coverage.  | Records documenting the monitoring and analysis of media coverage of the institution.                 |     |  |  |  |
| <b>MEDIA RELATIONS MANAGEMENT</b> | Media Monitoring                | The activities involved in monitoring media coverage of the institution.                         | Activities include: compiling summaries of media coverage; analysing and preparing reports on media coverage.  | Press cuttings  |     |  |  |  |

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| HE/FE SECTOR RELATIONS MANAGEMENT |   | The function of managing the institution's relationships with organisations in the HE and FE sectors.     |  |   |  |  |  |  |
| HE/FE SECTOR RELATIONS MANAGEMENT | HE/FE Sector Relations Strategy Development | The activities involved in developing and establishing the institution's HE/FE sector relations strategy. | Activities include: identifying requirements for new/revised strategy; undertaking research; developing strategy proposals; consulting on strategy proposals; reviewing and revising strategy proposals in the light of comments received; drafting strategy documents; consulting on strategy documents; reviewing draft strategy documents in the light of comments received; producing final strategy documents; submitting final strategy documents for formal endorsement; formally endorsing strategy documents; disseminating strategy documents; reviewing strategy. | Records documenting the development and establishment of the institution's HE/FE sector relations strategy: key records.    |  |  |  |  |
| HE/FE SECTOR RELATIONS MANAGEMENT | HE/FE Sector Relations Strategy Development | The activities involved in developing and establishing the institution's HE/FE sector relations strategy. | Activities include: identifying requirements for new/revised strategy; undertaking research; developing strategy proposals; consulting on strategy proposals; reviewing and revising strategy proposals in the light of comments received; drafting strategy documents; consulting on strategy documents; reviewing draft strategy documents in the light of comments received; producing final strategy documents; submitting final strategy documents for formal endorsement; formally endorsing strategy documents; disseminating strategy documents; reviewing strategy. | Records documenting the development and establishment of the institution's HE/FE sector relations strategy: working papers. |  |  |  |  |

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| HE/FE SECTOR RELATIONS<br>MANAGEMENT | HE/FE Sector Relations<br>Policy Development | The activities involved in developing and establishing the institution's policies on HE/FE sector relations. | Activities include: identifying requirements for new/revised policy; undertaking research; developing policy proposals; consulting on policy proposals; reviewing and revising policy proposals in the light of comments received; drafting policy documents; consulting on policy documents; reviewing draft policy documents in the light of comments received; producing final policy documents; submitting final policy documents for formal approval; formally approving policy documents; disseminating policy documents; reviewing policy. | Records documenting the development and establishment of the institution's HE/FE sector relations policies: key records.    |  |  |  |  |
| HE/FE SECTOR RELATIONS<br>MANAGEMENT | HE/FE Sector Relations<br>Policy Development | The activities involved in developing and establishing the institution's policies on HE/FE sector relations. | Activities include: identifying requirements for new/revised policy; undertaking research; developing policy proposals; consulting on policy proposals; reviewing and revising policy proposals in the light of comments received; drafting policy documents; consulting on policy documents; reviewing draft policy documents in the light of comments received; producing final policy documents; submitting final policy documents for formal approval; formally approving policy documents; disseminating policy documents; reviewing policy. | Records documenting the development and establishment of the institution's HE/FE sector relations policies: working papers. |  |  |  |  |

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| <b>HE/FE SECTOR RELATIONS MANAGEMENT</b> | HE/FE Sector Relations Procedure Development | The activities involved in developing the institution's procedures for HE/FE sector relations.                    | Activities include: identifying needs for new/revised procedure; undertaking research; analysing work processes; drafting procedure documents; consulting on procedure documents; reviewing draft procedure documents in the light of comments received; trialling procedure; refining procedure as a result of trials; submitting final procedure documents for formal approval; formally approving procedure documents; disseminating procedure documents; reviewing procedure. | Records documenting the development of the institution's procedures relating to HE/FE sector relations.   |     |  |  |  |
| <b>HE/FE SECTOR RELATIONS MANAGEMENT</b> | HE/FE Sector Relations Procedure Development | The activities involved in developing the institution's procedures for HE/FE sector relations.                    | Activities include: identifying needs for new/revised procedure; undertaking research; analysing work processes; drafting procedure documents; consulting on procedure documents; reviewing draft procedure documents in the light of comments received; trialling procedure; refining procedure as a result of trials; submitting final procedure documents for formal approval; formally approving procedure documents; disseminating procedure documents; reviewing procedure. | Master copies of procedures relating to HE/FE sector relations.   |     |  |  |  |
| <b>HE/FE SECTOR RELATIONS MANAGEMENT</b> | HE/FE Sector Communications Development      | The activities involved in managing the institution's communications with organisations in the HE and FE sectors. | Activities include: making and handling general enquiries; producing newsletters, briefing papers and other publications intended for an HE sector audience; contributing to publications produced by others.   | Records documenting the institution's general communications with other HE/FE institutions, other educational institutions, professional associations and learned bodies. | Yes | Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller.<br>[University Charter] |  |  |

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| HE/FE SECTOR RELATIONS<br>MANAGEMENT | HE/FE Sector<br>Communications<br>Development | The activities involved in<br>managing the institution's<br>communications with<br>organisations in the HE and<br>FE sectors. | Activities include: making<br>and handling general<br>enquiries; producing<br>newsletters, briefing papers<br>and other publications<br>intended for an HE sector<br>audience; contributing to<br>publications produced by<br>others. | Records documenting the<br>production of publications<br>specifically intended for the<br>HE and/or FE sector(s).  |     |  |  |  |
| HE/FE SECTOR RELATIONS<br>MANAGEMENT | HE/FE Sector<br>Communications<br>Development | The activities involved in<br>managing the institution's<br>communications with<br>organisations in the HE and<br>FE sectors. | Activities include: making<br>and handling general<br>enquiries; producing<br>newsletters, briefing papers<br>and other publications<br>intended for an HE sector<br>audience; contributing to<br>publications produced by<br>others. | Publications   |     |  |  |  |
| HE/FE SECTOR RELATIONS<br>MANAGEMENT | HE/FE Sector<br>Communications<br>Development | The activities involved in<br>managing the institution's<br>communications with<br>organisations in the HE and<br>FE sectors. | Activities include: making<br>and handling general<br>enquiries; producing<br>newsletters, briefing papers<br>and other publications<br>intended for an HE sector<br>audience; contributing to<br>publications produced by<br>others. | Records documenting<br>general enquiries from<br>institutions and other bodies<br>in the sector, the internal<br>handling of these enquiries<br>and the responses given. | Yes | Article 6 S.1 (e), necessary<br>for the performance of a<br>task carried out in the public<br>interest or in the exercise of<br>official authority vested in<br>the controller.[University<br>Charter] |  |  |

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| <b>HE/FE SECTOR RELATIONS MANAGEMENT</b> | HE/FE Sector Consultations Management | The activities involved in 1) conducting formal consultations with/of organisations in the HE and FE sectors 2) responding to formal consultations conducted by HE/FE sector organisations. | Activities include: conducting internal consultation processes in order to 1) prepare consultation documents to be issued 2) prepare formal corporate responses to consultation documents received. | Records documenting the preparation of the institution's formal responses to consultations conducted by HE/FE sector organisations (including records of internal consultation processes). | Yes | Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject.<br>Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller.<br>[University Charter] |  |  |
| <b>HE/FE SECTOR RELATIONS MANAGEMENT</b> | HE/FE Sector Consultations Management | The activities involved in 1) conducting formal consultations with/of organisations in the HE and FE sectors 2) responding to formal consultations conducted by HE/FE sector organisations. | Activities include: conducting internal consultation processes in order to 1) prepare consultation documents to be issued 2) prepare formal corporate responses to consultation documents received. | Records documenting the institution's formal responses to consultations conducted by HE/FE sector organisations.   | Yes | Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject.<br>Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller.<br>[University Charter] |  |  |
| <b>HE/FE SECTOR RELATIONS MANAGEMENT</b> | HE/FE Sector Reporting                | The activities involved in 1) submitting statistical and other data and reports to HE/FE regulatory bodies 2) receiving data and reports from these bodies for institutional use.           | Activities include: conducting internal data collection exercises (where these are not part of routine data collection - see MANAGEMENT INFORMATION COLLECTION, ANALYSIS & REPORTING).              | Records documenting the preparation and submission of reports to HE/FE regulatory bodies.  | Yes | Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject.<br>Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller.<br>[University Charter] |  |  |



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| <b>HE/FE SECTOR RELATIONS MANAGEMENT</b> | HE/FE Sector Events Management | The activities involved in organising events specifically for the HE/FE sector.                              | Activities include: determining dates and times; arranging venues, catering, security, transport etc.; planning programmes; issuing invitations; designing publicity materials (e.g. brochures, posters) and arranging production; designing event materials (e.g. delegate packs, menus) and arranging production; organising publicity (e.g. official photography, media coverage); issuing tickets; registering attendees; reviewing events; writing reports on events. | Records documenting the planning and impact/results of events for the HE sector.     | Yes | Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject.<br>Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller.<br>[University Charter] |  |  |
| <b>HE/FE SECTOR RELATIONS MANAGEMENT</b> | HE/FE Sector Events Management | The activities involved in organising events specifically for the HE/FE sector.                              | Activities include: determining dates and times; arranging venues, catering, security, transport etc.; planning programmes; issuing invitations; designing publicity materials (e.g. brochures, posters) and arranging production; designing event materials (e.g. delegate packs, menus) and arranging production; organising publicity (e.g. official photography, media coverage); issuing tickets; registering attendees; reviewing events; writing reports on events. | Records documenting the organisation and administration of events for the HE sector. | Yes | Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject.<br>Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller.<br>[University Charter] |  |  |
| <b>HE/FE SECTOR RELATIONS MANAGEMENT</b> | HE/FE Sector Representation    | The activities involved in representing the institution on HE/FE sector collaborative/representative bodies. | Activities include: establishing and maintaining membership of organisations; representing the institution on committees.  | Records documenting the institution's membership of organisations.                   | Yes | Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject.<br>Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller.<br>[University Charter] |  |  |

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| <b>HE/FE SECTOR RELATIONS MANAGEMENT</b> | HE/FE Sector Representation | The activities involved in representing the institution on HE/FE sector collaborative/representative bodies.   | Activities include: establishing and maintaining membership of organisations; representing the institution on committees. | Records documenting the institution's participation in the activities of external organisations (including committees).         | Yes | Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject.<br>Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller.<br>[University Charter] |  |  |
| <b>HE/FE SECTOR RELATIONS MANAGEMENT</b> | HE/FE Sector Collaboration  | The activities involved in establishing and managing collaborative relationships with organisations in the HE and FE sectors, in the UK and elsewhere. |   | Records documenting the establishment of formal contractual relationships between the institution and other HE/FE institutions. | Yes | Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject.<br>Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller.<br>[University Charter] |  |  |
| <b>COMMUNITY RELATIONS MANAGEMENT</b>    |                             | The function of managing the institution's relationship with its local community.  |   |   |     |   |  |  |

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| COMMUNITY RELATIONS<br>MANAGEMENT | Community Relations<br>Strategy Development | The activities involved in developing the institution's community relations strategy. | Activities include: identifying requirements for new/revised strategy; undertaking research; developing strategy proposals; consulting on strategy proposals; reviewing and revising strategy proposals in the light of comments received; drafting strategy documents; consulting on strategy documents; reviewing draft strategy documents in the light of comments received; producing final strategy documents; submitting final strategy documents for formal endorsement; formally endorsing strategy documents; disseminating strategy documents; reviewing strategy. | Records documenting the development and establishment of the institution's community relations strategy: key records.    |  |  |  |  |
| COMMUNITY RELATIONS<br>MANAGEMENT | Community Relations<br>Strategy Development | The activities involved in developing the institution's community relations strategy. | Activities include: identifying requirements for new/revised strategy; undertaking research; developing strategy proposals; consulting on strategy proposals; reviewing and revising strategy proposals in the light of comments received; drafting strategy documents; consulting on strategy documents; reviewing draft strategy documents in the light of comments received; producing final strategy documents; submitting final strategy documents for formal endorsement; formally endorsing strategy documents; disseminating strategy documents; reviewing strategy. | Records documenting the development and establishment of the institution's community relations strategy: working papers. |  |  |  |  |

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| COMMUNITY RELATIONS<br>MANAGEMENT | Community Relations Policy<br>Development | The activities involved in<br>developing and establishing<br>the institution's policies on<br>community relations. | Activities include: identifying<br>requirements for<br>new/revised policy;<br>undertaking research;<br>developing policy proposals;<br>consulting on policy<br>proposals; reviewing and<br>revising policy proposals in<br>the light of comments<br>received; drafting policy<br>documents; consulting on<br>policy documents; reviewing<br>draft policy documents in<br>the light of comments<br>received; producing final<br>policy documents;<br>submitting final policy<br>documents for formal<br>approval; formally<br>approving policy<br>documents; disseminating<br>policy documents; reviewing<br>policy. | Records documenting the<br>development and<br>establishment of the<br>institution's community<br>relations policies: key<br>records.    |  |  |  |  |
| COMMUNITY RELATIONS<br>MANAGEMENT | Community Relations Policy<br>Development | The activities involved in<br>developing and establishing<br>the institution's policies on<br>community relations. | Activities include: identifying<br>requirements for<br>new/revised policy;<br>undertaking research;<br>developing policy proposals;<br>consulting on policy<br>proposals; reviewing and<br>revising policy proposals in<br>the light of comments<br>received; drafting policy<br>documents; consulting on<br>policy documents; reviewing<br>draft policy documents in<br>the light of comments<br>received; producing final<br>policy documents;<br>submitting final policy<br>documents for formal<br>approval; formally<br>approving policy<br>documents; disseminating<br>policy documents; reviewing<br>policy. | Records documenting the<br>development and<br>establishment of the<br>institution's community<br>relations policies: working<br>papers. |  |  |  |  |

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| <b>COMMUNITY RELATIONS MANAGEMENT</b> | Community Relations Procedure Development | The activities involved in developing the institution's procedures for community relations.    | Activities include: identifying needs for new/revised procedure; undertaking research; analysing work processes; drafting procedure documents; consulting on procedure documents; reviewing draft procedure documents in the light of comments received; trialling procedure; refining procedure as a result of trials; submitting final procedure documents for formal approval; formally approving procedure documents; disseminating procedure documents; reviewing procedure. | Records documenting the development of the institution's procedures relating to community relations. |     |  |  |  |
| <b>COMMUNITY RELATIONS MANAGEMENT</b> | Community Relations Procedure Development | The activities involved in developing the institution's procedures for community relations.    | Activities include: identifying needs for new/revised procedure; undertaking research; analysing work processes; drafting procedure documents; consulting on procedure documents; reviewing draft procedure documents in the light of comments received; trialling procedure; refining procedure as a result of trials; submitting final procedure documents for formal approval; formally approving procedure documents; disseminating procedure documents; reviewing procedure. | Master copies of procedures relating to community relations.   |     |  |  |  |
| <b>COMMUNITY RELATIONS MANAGEMENT</b> | Community Communications Management       | The activities involved in managing the institution's communications with its local community. | Activities include: handling enquiries, suggestions and complaints from members of the local community; conducting community surveys and consultations.   | Records documenting enquiries from members of the local community and the responses provided.        | Yes | Article 6 S.1 (b), necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract.Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject.Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller.[University Charter] |  |  |

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| <b>COMMUNITY RELATIONS MANAGEMENT</b> | Community Communications Management | The activities involved in managing the institution's communications with its local community. | Activities include: handling enquiries, suggestions and complaints from members of the local community; conducting community surveys and consultations. | Records documenting unsolicited feedback from members of the local community, the internal handling of this feedback and the responses provided. | Yes | Article 6 S.1 (b), necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract.<br>Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject.<br>Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller.<br>[University Charter] |  |  |
| <b>COMMUNITY RELATIONS MANAGEMENT</b> | Community Communications Management | The activities involved in managing the institution's communications with its local community. | Activities include: handling enquiries, suggestions and complaints from members of the local community; conducting community surveys and consultations. | Records documenting the design and conduct of community surveys.   | Yes | Article 6 S.1 (b), necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract.<br>Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject.<br>Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller.<br>[University Charter] |  |  |
| <b>COMMUNITY RELATIONS MANAGEMENT</b> | Community Communications Management | The activities involved in managing the institution's communications with its local community. | Activities include: handling enquiries, suggestions and complaints from members of the local community; conducting community surveys and consultations. | Results of community surveys: individual responses   | Yes | Article 6 S.1 (b), necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract.<br>Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject.<br>Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller.<br>[University Charter] |  |  |

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| <b>COMMUNITY RELATIONS MANAGEMENT</b> | Community Communications Management | The activities involved in managing the institution's communications with its local community. | Activities include: handling enquiries, suggestions and complaints from members of the local community; conducting community surveys and consultations. | Results of community surveys: summaries and analyses of responses   |     |   |             |  |
| <b>COMMUNITY RELATIONS MANAGEMENT</b> | Community Communications Management | The activities involved in managing the institution's communications with its local community. | Activities include: handling enquiries, suggestions and complaints from members of the local community; conducting community surveys and consultations. | Records documenting complaints from members of the local community, the internal handling of these complaints and the responses provided. | Yes | Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject. | Potentially | Article 9 S.2 (b), necessary for the purposes of carrying out the obligations and exercising specific rights of the controller or of the data subject in the field of employment and social security and social protection law in so far as it is authorised by Union or Member State law or a collective agreement pursuant to Member State law providing for appropriate safeguards for the fundamental rights and the interests of the data subject. Article 9 S.2 (f), necessary for the establishment, exercise or defence of legal claims or whenever courts are acting in their judicial capacity. Article 9 S.2 (g) necessary for reasons of substantial public interest, on the basis of Union or Member State law which shall be proportionate to the aim pursued, respect the essence of the right to data protection and provide for suitable and specific measures to safeguard the fundamental rights and the interests of the data subject. |

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| <b>COMMUNITY RELATIONS MANAGEMENT</b> | Community Events Management | The activities involved in organising events (D1) specifically for the local community.   | Activities include: determining dates and times; arranging venues, catering, security, transport etc.; planning programmes; issuing invitations; designing publicity materials (e.g. brochures, posters) and arranging production; designing event materials (e.g. delegate packs, menus) and arranging production; organising publicity (e.g. official photography, media coverage); issuing tickets; registering attendees; reviewing events; writing reports on events. | Records documenting the planning and impact/results of local community events.     | Yes | Article 6 S.1 (b), necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract.<br>Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject.<br>Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller.<br>[University Charter] |  |  |
| <b>COMMUNITY RELATIONS MANAGEMENT</b> | Community Events Management | The activities involved in organising events (D1) specifically for the local community.   | Activities include: determining dates and times; arranging venues, catering, security, transport etc.; planning programmes; issuing invitations; designing publicity materials (e.g. brochures, posters) and arranging production; designing event materials (e.g. delegate packs, menus) and arranging production; organising publicity (e.g. official photography, media coverage); issuing tickets; registering attendees; reviewing events; writing reports on events. | Records documenting the organisation and administration of local community events. | Yes | Article 6 S.1 (b), necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract.<br>Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject.<br>Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller.<br>[University Charter] |  |  |
| <b>COMMUNITY RELATIONS MANAGEMENT</b> | Community Representation    | The activities involved in representing the institution in local community organisations. | Activities include: establishing and maintaining membership of organisations; representing the institution in local community organisations.   | Records documenting the institution's membership of local community organisations. | Yes | Article 6 S.1 (b), necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract.<br>Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject.<br>Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller.<br>[University Charter] |  |  |



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| <b>COMMUNITY RELATIONS MANAGEMENT</b> | Community Representation              | The activities involved in representing the institution in local community organisations.           | Activities include: establishing and maintaining membership of organisations; representing the institution in local community organisations.   | Records documenting the institution's participation in the activities of local community organisations (including committees). | Yes | Article 6 S.1 (b), necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract.<br>Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject.<br>Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller.<br>[University Charter] |  |  |
| <b>ALUMNI RELATIONS MANAGEMENT</b>    |                                       | The function of managing the institution's relationship with its alumni.                            |  |  |     |  |  |  |
| <b>ALUMNI RELATIONS MANAGEMENT</b>    | Alumni Relations Strategy Development | The activities involved in developing and establishing the institution's alumni relations strategy. | Activities include: identifying requirements for new/revised strategy; undertaking research; developing strategy proposals; consulting on strategy proposals; reviewing and revising strategy proposals in the light of comments received; drafting strategy documents; consulting on strategy documents; reviewing draft strategy documents in the light of comments received; producing final strategy documents; submitting final strategy documents for formal endorsement; formally endorsing strategy documents; disseminating strategy documents; reviewing strategy. | Records documenting the development and establishment of the institution's alumni relations strategy: key records.             |     |  |  |  |

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| <b>ALUMNI RELATIONS<br/>MANAGEMENT</b> | Alumni Relations Strategy<br>Development | The activities involved in<br>developing and establishing<br>the institution's alumni<br>relations strategy.    | Activities include: identifying<br>requirements for<br>new/revised strategy;<br>undertaking research;<br>developing strategy<br>proposals; consulting on<br>strategy proposals;<br>reviewing and revising<br>strategy proposals in the<br>light of comments received;<br>drafting strategy<br>documents; consulting on<br>strategy documents;<br>reviewing draft strategy<br>documents in the light of<br>comments received;<br>producing final strategy<br>documents; submitting final<br>strategy documents for<br>formal endorsement;<br>formally endorsing strategy<br>documents; disseminating<br>strategy documents;<br>reviewing strategy. | Records documenting the<br>development and<br>establishment of the<br>institution's alumni relations<br>strategy: working papers. |  |  |  |  |
| <b>ALUMNI RELATIONS<br/>MANAGEMENT</b> | Alumni Relations Policy<br>Development   | The activities involved in<br>developing and establishing<br>the institution's policies on<br>alumni relations. | Activities include: identifying<br>requirements for<br>new/revised policy;<br>undertaking research;<br>developing policy proposals;<br>consulting on policy<br>proposals; reviewing and<br>revising policy proposals in<br>the light of comments<br>received; drafting policy<br>documents; consulting on<br>policy documents; reviewing<br>draft policy documents in<br>the light of comments<br>received; producing final<br>policy documents;<br>submitting final policy<br>documents for formal<br>approval; formally<br>approving policy<br>documents; disseminating<br>policy documents; reviewing<br>policy.                               | Records documenting the<br>development and<br>establishment of the<br>institution's alumni relations<br>policies: key records.    |  |  |  |  |

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| <b>ALUMNI RELATIONS MANAGEMENT</b> | Alumni Relations Policy Development    | The activities involved in developing and establishing the institution's policies on alumni relations. | Activities include: identifying requirements for new/revised policy; undertaking research; developing policy proposals; consulting on policy proposals; reviewing and revising policy proposals in the light of comments received; drafting policy documents; consulting on policy documents; reviewing draft policy documents in the light of comments received; producing final policy documents; submitting final policy documents for formal approval; formally approving policy documents; disseminating policy documents; reviewing policy. | Records documenting the development and establishment of the institution's alumni relations policies: working papers. |  |  |  |  |
| <b>ALUMNI RELATIONS MANAGEMENT</b> | Alumni Relations Procedure Development | The activities involved in developing the institution's procedures for alumni relations.               | Activities include: identifying needs for new/revised procedure; undertaking research; analysing work processes; drafting procedure documents; consulting on procedure documents; reviewing draft procedure documents in the light of comments received; trialling procedure; refining procedure as a result of trials; submitting final procedure documents for formal approval; formally approving procedure documents; disseminating procedure documents; reviewing procedure.   | Records documenting the development of the institution's procedures relating to alumni relations.                     |  |  |  |  |
| <b>ALUMNI RELATIONS MANAGEMENT</b> | Alumni Relations Procedure Development | The activities involved in developing the institution's procedures for alumni relations.               | Activities include: identifying needs for new/revised procedure; undertaking research; analysing work processes; drafting procedure documents; consulting on procedure documents; reviewing draft procedure documents in the light of comments received; trialling procedure; refining procedure as a result of trials; submitting final procedure documents for formal approval; formally approving procedure documents; disseminating procedure documents; reviewing procedure.   | Master copies of procedures relating to alumni relations.   |  |  |  |  |

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| <b>ALUMNI RELATIONS MANAGEMENT</b> | Alumni Records Administration    | The activities involved in maintaining accurate records on alumni for the purpose of maintaining the institution's relationship with them. |  | Records containing personal data on individual alumni.                                     | Yes | Article 6 S.1 (b), necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract.Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject.Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller.[University Charter] |  |  |
| <b>ALUMNI RELATIONS MANAGEMENT</b> | Alumni Records Administration    | The activities involved in maintaining accurate records on alumni for the purpose of maintaining the institution's relationship with them. |  | Summary (anonymised) statistical records of alumni   |     |  |  |  |
| <b>ALUMNI RELATIONS MANAGEMENT</b> | Alumni Communications Management | The activities involved in managing the institution's communications with its alumni.  | Activities include: planning and issuing communications to alumni, both one-off (e.g. notices of new alumni benefits or services) and regular (e.g. magazines); conducting alumni surveys. | Records documenting the design, planning and production of official alumni communications. |     |  |  |  |

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| <b>ALUMNI RELATIONS MANAGEMENT</b> | Alumni Communications Management | The activities involved in managing the institution's communications with its alumni. | Activities include: planning and issuing communications to alumni, both one-off (e.g. notices of new alumni benefits or services) and regular (e.g. magazines); conducting alumni surveys. | Alumni communications  | Yes | Article 6 S.1 (b), necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract.<br>Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject.<br>Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller.<br>[University Charter] |  |  |
| <b>ALUMNI RELATIONS MANAGEMENT</b> | Alumni Communications Management | The activities involved in managing the institution's communications with its alumni. | Activities include: planning and issuing communications to alumni, both one-off (e.g. notices of new alumni benefits or services) and regular (e.g. magazines); conducting alumni surveys. | Records documenting enquiries from alumni and the responses provided.  | Yes | Article 6 S.1 (b), necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract.<br>Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject.<br>Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller.<br>[University Charter] |  |  |
| <b>ALUMNI RELATIONS MANAGEMENT</b> | Alumni Communications Management | The activities involved in managing the institution's communications with its alumni. | Activities include: planning and issuing communications to alumni, both one-off (e.g. notices of new alumni benefits or services) and regular (e.g. magazines); conducting alumni surveys. | Records documenting unsolicited feedback from alumni, the internal handling of this feedback and the responses provided. | Yes | Article 6 S.1 (b), necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract.<br>Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject.<br>Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller.<br>[University Charter] |  |  |

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| <b>ALUMNI RELATIONS MANAGEMENT</b> | Alumni Communications Management | The activities involved in managing the institution's communications with its alumni. | Activities include: planning and issuing communications to alumni, both one-off (e.g. notices of new alumni benefits or services) and regular (e.g. magazines); conducting alumni surveys. | Records documenting the design and conduct of alumni surveys.  |     |  |  |  |
| <b>ALUMNI RELATIONS MANAGEMENT</b> | Alumni Communications Management | The activities involved in managing the institution's communications with its alumni. | Activities include: planning and issuing communications to alumni, both one-off (e.g. notices of new alumni benefits or services) and regular (e.g. magazines); conducting alumni surveys. | Results of alumni surveys: individual responses                | Yes | Article 6 S.1 (b), necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract.Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject.Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller.[University Charter] |  |  |
| <b>ALUMNI RELATIONS MANAGEMENT</b> | Alumni Communications Management | The activities involved in managing the institution's communications with its alumni. | Activities include: planning and issuing communications to alumni, both one-off (e.g. notices of new alumni benefits or services) and regular (e.g. magazines); conducting alumni surveys. | Results of alumni surveys: summaries and analyses of responses |     |  |  |  |

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| <b>ALUMNI RELATIONS MANAGEMENT</b> | Alumni Communications Management | The activities involved in managing the institution's communications with its alumni. | Activities include: planning and issuing communications to alumni, both one-off (e.g. notices of new alumni benefits or services) and regular (e.g. magazines); conducting alumni surveys.   | Records documenting the handling of complaints from alumni.                                 | Yes | Article 6 S.1 (b), necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract.<br>Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject.<br>Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller.<br>[University Charter] |  |  |
| <b>ALUMNI RELATIONS MANAGEMENT</b> | Alumni Events Management         | The activities involved in organising events for alumni.                              | Activities include: determining dates and times; arranging venues, catering, security, transport etc.; planning programmes; issuing invitations; designing publicity materials (e.g. brochures, posters) and arranging production; designing event materials (e.g. delegate packs, menus) and arranging production; organising publicity (e.g. official photography, media coverage); issuing tickets; registering attendees; reviewing events; writing reports on events. | Records documenting the planning and impact/results of institutional events for alumni.     |     |  |  |  |
| <b>ALUMNI RELATIONS MANAGEMENT</b> | Alumni Events Management         | The activities involved in organising events for alumni.                              | Activities include: determining dates and times; arranging venues, catering, security, transport etc.; planning programmes; issuing invitations; designing publicity materials (e.g. brochures, posters) and arranging production; designing event materials (e.g. delegate packs, menus) and arranging production; organising publicity (e.g. official photography, media coverage); issuing tickets; registering attendees; reviewing events; writing reports on events. | Records documenting the organisation and administration of institutional events for alumni. | Yes | Article 6 S.1 (b), necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract.<br>Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject.<br>Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller.<br>[University Charter] |  |  |

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| <b>ALUMNI RELATIONS MANAGEMENT</b> | Alumni Events Management | The activities involved in organising events for alumni.   | Activities include: determining dates and times; arranging venues, catering, security, transport etc.; planning programmes; issuing invitations; designing publicity materials (e.g. brochures, posters) and arranging production; designing event materials (e.g. delegate packs, menus) and arranging production; organising publicity (e.g. official photography, media coverage); issuing tickets; registering attendees; reviewing events; writing reports on events. | Records documenting the administration of financial and other support given to individual alumni organisations.   | Yes | Article 6 S.1 (b), necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract.<br>Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject.<br>Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller.<br>[University Charter] |  |  |
| <b>ALUMNI RELATIONS MANAGEMENT</b> | Alumni Support           | The activities involved in providing support to alumni, both individually and through alumni associations. | Activities include: providing financial and other support to alumni associations; brokering contact with/between individuals.  | Records documenting requests from alumni associations for financial or other support, the internal handling of these requests and the responses provided. | Yes | Article 6 S.1 (b), necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract.<br>Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject.<br>Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller.<br>[University Charter] |  |  |
| <b>ALUMNI RELATIONS MANAGEMENT</b> | Alumni Support           | The activities involved in providing support to alumni, both individually and through alumni associations. | Activities include: providing financial and other support to alumni associations; brokering contact with/between individuals.  | Records documenting the administration of financial and other support to alumni organisations.  | Yes | Article 6 S.1 (b), necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract.<br>Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject.<br>Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller.<br>[University Charter] |  |  |



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| <b>ALUMNI RELATIONS MANAGEMENT</b> | Alumni Support                   | The activities involved in providing support to alumni, both individually and through alumni associations.               | Activities include: providing financial and other support to alumni associations; brokering contact with/between individuals.  | Records documenting requests for contact details for alumni, action taken and the responses provided.         | Yes | Article 6 S.1 (b), necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract.<br>Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject.<br>Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller.<br>[University Charter] |  |  |
| <b>FUNDRAISING</b>                 |                                  | The function of soliciting funds directly from organisations and individuals, and of managing relationships with donors. |  |   |     |  |  |  |
| <b>FUNDRAISING</b>                 | Fundraising Strategy Development | The activities involved in developing the institution's fundraising strategy.  | Activities include: identifying requirements for new/revised strategy; undertaking research; developing strategy proposals; consulting on strategy proposals; reviewing and revising strategy proposals in the light of comments received; drafting strategy documents; consulting on strategy documents; reviewing draft strategy documents in the light of comments received; producing final strategy documents; submitting final strategy documents for formal endorsement; formally endorsing strategy documents; disseminating strategy documents; reviewing strategy. | Records documenting the development and establishment of the institution's fundraising strategy: key records. |     |  |  |  |

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| FUNDRAISING | Fundraising Strategy Development | The activities involved in developing the institution's fundraising strategy.                     | Activities include: identifying requirements for new/revised strategy; undertaking research; developing strategy proposals; consulting on strategy proposals; reviewing and revising strategy proposals in the light of comments received; drafting strategy documents; consulting on strategy documents; reviewing draft strategy documents in the light of comments received; producing final strategy documents; submitting final strategy documents for formal endorsement; formally endorsing strategy documents; disseminating strategy documents; reviewing strategy. | Records documenting the development and establishment of the institution's fundraising strategy: working papers. |  |  |  |  |
| FUNDRAISING | Fundraising Policy Development   | The activities involved in developing and establishing the institution's policies on fundraising. | Activities include: identifying requirements for new/revised policy; undertaking research; developing policy proposals; consulting on policy proposals; reviewing and revising policy proposals in the light of comments received; drafting policy documents; consulting on policy documents; reviewing draft policy documents in the light of comments received; producing final policy documents; submitting final policy documents for formal approval; formally approving policy documents; disseminating policy documents; reviewing policy.                            | Records documenting the development and establishment of the institution's fundraising policies: key records.    |  |  |  |  |

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| <b>FUNDRAISING</b> | Fundraising Policy Development    | The activities involved in developing and establishing the institution's policies on fundraising. | Activities include: identifying requirements for new/revised policy; undertaking research; developing policy proposals; consulting on policy proposals; reviewing and revising policy proposals in the light of comments received; drafting policy documents; consulting on policy documents; reviewing draft policy documents in the light of comments received; producing final policy documents; submitting final policy documents for formal approval; formally approving policy documents; disseminating policy documents; reviewing policy. | Records documenting the development and establishment of the institution's fundraising policies: working papers. |  |  |  |  |
| <b>FUNDRAISING</b> | Fundraising Procedure Development | The activities involved in developing the institution's procedures for fundraising.               | Activities include: identifying needs for new/revised procedure; undertaking research; analysing work processes; drafting procedure documents; consulting on procedure documents; reviewing draft procedure documents in the light of comments received; trialling procedure; refining procedure as a result of trials; submitting final procedure documents for formal approval; formally approving procedure documents; disseminating procedure documents; reviewing procedure.   | Records documenting the development of the institution's procedures relating to fundraising.                     |  |  |  |  |
| <b>FUNDRAISING</b> | Fundraising Procedure Development | The activities involved in developing the institution's procedures for fundraising.               | Activities include: identifying needs for new/revised procedure; undertaking research; analysing work processes; drafting procedure documents; consulting on procedure documents; reviewing draft procedure documents in the light of comments received; trialling procedure; refining procedure as a result of trials; submitting final procedure documents for formal approval; formally approving procedure documents; disseminating procedure documents; reviewing procedure.   | Master copies of procedures relating to fundraising.   |  |  |  |  |

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| <b>FUNDRAISING</b> | Fundraising Campaign Management | The activities involved in undertaking fundraising campaigns.  | Activities include: designing fundraising campaigns; establishing fundraising campaign management structures; developing and implementing fundraising projects; communicating with donors; reviewing the effectiveness of campaigns. | Records documenting the design, conduct and summary results of fundraising campaigns.    |     |   |  |  |
| <b>FUNDRAISING</b> | Fundraising Campaign Management | The activities involved in undertaking fundraising campaigns.  | Activities include: designing fundraising campaigns; establishing fundraising campaign management structures; developing and implementing fundraising projects; communicating with donors; reviewing the effectiveness of campaigns. | Records containing details of individual responses to fundraising campaigns.             | Yes | Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller.<br>[University Charter, S.3 (t) - To demand and receive fees, to procure contributions to the funds of the University and to raise money in such other manner as the University may deem fit.]   |  |  |
| <b>FUNDRAISING</b> | Donations Management            | The activities involved in receiving donations to the institution, and in managing the institution's formal relationships with donors. | Activities include: handling enquiries about donating; establishing mechanisms for donating; organising events for donors; communicating with donors.  | Records documenting the handling of enquiries about making donations to the institution. | Yes | Article 6 S.1 (b), necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract.<br>Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject.<br>Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller.<br>[University Charter, S.3 (t) - To demand and receive fees, to procure contributions to the funds of the University and to raise money in such |  |  |

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|                                     |                      |  |   |   |     | other manner as the University may deem fit.]   |  |  |
| <b>FUNDRAISING</b>                  | Donations Management | The activities involved in receiving donations to the institution, and in managing the institution's formal relationships with donors. | Activities include: handling enquiries about donating; establishing mechanisms for donating; organising events for donors; communicating with donors. | Records documenting donations to the institution. | Yes | Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller.[University Charter, S.3 (t) - To demand and receive fees, to procure contributions to the funds of the University and to raise money in such other manner as the University may deem fit.] |  |  |
| <b>STUDENT RELATIONS MANAGEMENT</b> |                      | The function of managing the institution's relationship with its student body.   |   |   |     |   |  |  |

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| STUDENT RELATIONS<br>MANAGEMENT | Student Relations Strategy<br>Development | The activities involved in<br>developing and establishing<br>the institution's student<br>relations strategy. | Activities include: identifying<br>requirements for<br>new/revised strategy;<br>undertaking research;<br>developing strategy<br>proposals; consulting on<br>strategy proposals;<br>reviewing and revising<br>strategy proposals in the<br>light of comments received;<br>drafting strategy<br>documents; consulting on<br>strategy documents;<br>reviewing draft strategy<br>documents in the light of<br>comments received;<br>producing final strategy<br>documents; submitting final<br>strategy documents for<br>formal endorsement;<br>formally endorsing strategy<br>documents; disseminating<br>strategy documents;<br>reviewing strategy. | Records documenting the<br>development and<br>establishment of the<br>institution's student<br>relations strategy: key<br>records.    |  |  |  |  |
| STUDENT RELATIONS<br>MANAGEMENT | Student Relations Strategy<br>Development | The activities involved in<br>developing and establishing<br>the institution's student<br>relations strategy. | Activities include: identifying<br>requirements for<br>new/revised strategy;<br>undertaking research;<br>developing strategy<br>proposals; consulting on<br>strategy proposals;<br>reviewing and revising<br>strategy proposals in the<br>light of comments received;<br>drafting strategy<br>documents; consulting on<br>strategy documents;<br>reviewing draft strategy<br>documents in the light of<br>comments received;<br>producing final strategy<br>documents; submitting final<br>strategy documents for<br>formal endorsement;<br>formally endorsing strategy<br>documents; disseminating<br>strategy documents;<br>reviewing strategy. | Records documenting the<br>development and<br>establishment of the<br>institution's student<br>relations strategy: working<br>papers. |  |  |  |  |

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| <b>STUDENT RELATIONS<br/>MANAGEMENT</b> | Student Relations Policy<br>Development | The activities involved in<br>developing and establishing<br>the institution's policies on<br>student relations. | Activities include: identifying<br>requirements for<br>new/revised policy;<br>undertaking research;<br>developing policy proposals;<br>consulting on policy<br>proposals; reviewing and<br>revising policy proposals in<br>the light of comments<br>received; drafting policy<br>documents; consulting on<br>policy documents; reviewing<br>draft policy documents in<br>the light of comments<br>received; producing final<br>policy documents;<br>submitting final policy<br>documents for formal<br>approval; formally<br>approving policy<br>documents; disseminating<br>policy documents; reviewing<br>policy. | Records documenting the<br>development and<br>establishment of the<br>institution's student<br>relations policies: key<br>records.    |  |  |  |  |
| <b>STUDENT RELATIONS<br/>MANAGEMENT</b> | Student Relations Policy<br>Development | The activities involved in<br>developing and establishing<br>the institution's policies on<br>student relations. | Activities include: identifying<br>requirements for<br>new/revised policy;<br>undertaking research;<br>developing policy proposals;<br>consulting on policy<br>proposals; reviewing and<br>revising policy proposals in<br>the light of comments<br>received; drafting policy<br>documents; consulting on<br>policy documents; reviewing<br>draft policy documents in<br>the light of comments<br>received; producing final<br>policy documents;<br>submitting final policy<br>documents for formal<br>approval; formally<br>approving policy<br>documents; disseminating<br>policy documents; reviewing<br>policy. | Records documenting the<br>development and<br>establishment of the<br>institution's student<br>relations policies: working<br>papers. |  |  |  |  |

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| <b>STUDENT RELATIONS MANAGEMENT</b> | Student Relations Procedure Development | The activities involved in developing the institution's procedures for student relations. | Activities include: identifying needs for new/revised procedure; undertaking research; analysing work processes; drafting procedure documents; consulting on procedure documents; reviewing draft procedure documents in the light of comments received; trialling procedure; refining procedure as a result of trials; submitting final procedure documents for formal approval; formally approving procedure documents; disseminating procedure documents; reviewing procedure. | Records documenting the development of the institution's procedures relating to student relations. |  |  |  |  |
| <b>STUDENT RELATIONS MANAGEMENT</b> | Student Relations Procedure Development | The activities involved in developing the institution's procedures for student relations. | Activities include: identifying needs for new/revised procedure; undertaking research; analysing work processes; drafting procedure documents; consulting on procedure documents; reviewing draft procedure documents in the light of comments received; trialling procedure; refining procedure as a result of trials; submitting final procedure documents for formal approval; formally approving procedure documents; disseminating procedure documents; reviewing procedure. | Master copies of procedures relating to student relations.   |  |  |  |  |
| <b>STUDENT RELATIONS MANAGEMENT</b> | Student Communications Management       | The activities involved in communicating formally with the student body.                  | Activities include: organising the election and/or appointment of student representatives to the institution's governing body and executive committees; establishing and operating staff-student liaison committees; operating student suggestion schemes; conducting general student surveys and consultations.  | Records documenting the establishment and operation of staff-student liaison committees.           |  |  |  |  |



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| <b>STUDENT RELATIONS MANAGEMENT</b> | Student Communications Management | The activities involved in communicating formally with the student body. | Activities include: organising the election and/or appointment of student representatives to the institution's governing body and executive committees; establishing and operating staff-student liaison committees; operating student suggestion schemes; conducting general student surveys and consultations. | Records documenting the operation of staff-student liaison committees. |     |  |  |  |
| <b>STUDENT RELATIONS MANAGEMENT</b> | Student Communications Management | The activities involved in communicating formally with the student body. | Activities include: organising the election and/or appointment of student representatives to the institution's governing body and executive committees; establishing and operating staff-student liaison committees; operating student suggestion schemes; conducting general student surveys and consultations. | Records documenting the design and conduct of student surveys.         |     |  |  |  |
| <b>STUDENT RELATIONS MANAGEMENT</b> | Student Communications Management | The activities involved in communicating formally with the student body. | Activities include: organising the election and/or appointment of student representatives to the institution's governing body and executive committees; establishing and operating staff-student liaison committees; operating student suggestion schemes; conducting general student surveys and consultations. | Results of student surveys: individual responses                       | Yes | Article 6 S.1 (b), necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract.<br>Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject.<br>Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller.<br>[University Charter] |  |  |

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| <b>STUDENT RELATIONS MANAGEMENT</b> | Student Communications Management | The activities involved in communicating formally with the student body. | Activities include: organising the election and/or appointment of student representatives to the institution's governing body and executive committees; establishing and operating staff-student liaison committees; operating student suggestion schemes; conducting general student surveys and consultations. | Results of student surveys: summaries and analyses of responses                         |     |  |  |  |
| <b>STUDENT RELATIONS MANAGEMENT</b> | Student Communications Management | The activities involved in communicating formally with the student body. | Activities include: organising the election and/or appointment of student representatives to the institution's governing body and executive committees; establishing and operating staff-student liaison committees; operating student suggestion schemes; conducting general student surveys and consultations. | Records documenting the design of, and overall response to, student suggestion schemes. |     |  |  |  |
| <b>STUDENT RELATIONS MANAGEMENT</b> | Student Communications Management | The activities involved in communicating formally with the student body. | Activities include: organising the election and/or appointment of student representatives to the institution's governing body and executive committees; establishing and operating staff-student liaison committees; operating student suggestion schemes; conducting general student surveys and consultations. | Records documenting the handling of suggestions from individual students.               | Yes | Article 6 S.1 (b), necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract.<br>Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject.<br>Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller.<br>[University Charter] |  |  |

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| <b>GOVERNMENT RELATIONS MANAGEMENT</b> |   | The function of managing the institution's relationships with government bodies.                        |  |   |  |  |  |  |
| <b>GOVERNMENT RELATIONS MANAGEMENT</b> | Government Relations Strategy Development | The activities involved in developing and establishing the institution's government relations strategy. | Activities include: identifying requirements for new/revised strategy; undertaking research; developing strategy proposals; consulting on strategy proposals; reviewing and revising strategy proposals in the light of comments received; drafting strategy documents; consulting on strategy documents; reviewing draft strategy documents in the light of comments received; producing final strategy documents; submitting final strategy documents for formal endorsement; formally endorsing strategy documents; disseminating strategy documents; reviewing strategy. | Records documenting the development and establishment of the institution's government relations strategy: key records.    |  |  |  |  |
| <b>GOVERNMENT RELATIONS MANAGEMENT</b> | Government Relations Strategy Development | The activities involved in developing and establishing the institution's government relations strategy. | Activities include: identifying requirements for new/revised strategy; undertaking research; developing strategy proposals; consulting on strategy proposals; reviewing and revising strategy proposals in the light of comments received; drafting strategy documents; consulting on strategy documents; reviewing draft strategy documents in the light of comments received; producing final strategy documents; submitting final strategy documents for formal endorsement; formally endorsing strategy documents; disseminating strategy documents; reviewing strategy. | Records documenting the development and establishment of the institution's government relations strategy: working papers. |  |  |  |  |

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| <b>GOVERNMENT RELATIONS MANAGEMENT</b> | Government Relations Policy Development | The activities involved in developing and establishing the institution's policies on government relations. | Activities include: identifying requirements for new/revised policy; undertaking research; developing policy proposals; consulting on policy proposals; reviewing and revising policy proposals in the light of comments received; drafting policy documents; consulting on policy documents; reviewing draft policy documents in the light of comments received; producing final policy documents; submitting final policy documents for formal approval; formally approving policy documents; disseminating policy documents; reviewing policy. | Records documenting the development and establishment of the institution's government relations policies: key records.    |  |  |  |  |
| <b>GOVERNMENT RELATIONS MANAGEMENT</b> | Government Relations Policy Development | The activities involved in developing and establishing the institution's policies on government relations. | Activities include: identifying requirements for new/revised policy; undertaking research; developing policy proposals; consulting on policy proposals; reviewing and revising policy proposals in the light of comments received; drafting policy documents; consulting on policy documents; reviewing draft policy documents in the light of comments received; producing final policy documents; submitting final policy documents for formal approval; formally approving policy documents; disseminating policy documents; reviewing policy. | Records documenting the development and establishment of the institution's government relations policies: working papers. |  |  |  |  |

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| <b>GOVERNMENT RELATIONS MANAGEMENT</b> | Government Relations Procedure Development | The activities involved in developing the institution's procedures for government relations. | Activities include: identifying needs for new/revised procedure; undertaking research; analysing work processes; drafting procedure documents; consulting on procedure documents; reviewing draft procedure documents in the light of comments received; trialling procedure; refining procedure as a result of trials; submitting final procedure documents for formal approval; formally approving procedure documents; disseminating procedure documents; reviewing procedure. | Records documenting the development of the institution's procedures relating to government relations. |     |  |  |  |
| <b>GOVERNMENT RELATIONS MANAGEMENT</b> | Government Relations Procedure Development | The activities involved in developing the institution's procedures for government relations. | Activities include: identifying needs for new/revised procedure; undertaking research; analysing work processes; drafting procedure documents; consulting on procedure documents; reviewing draft procedure documents in the light of comments received; trialling procedure; refining procedure as a result of trials; submitting final procedure documents for formal approval; formally approving procedure documents; disseminating procedure documents; reviewing procedure. | Master copies of procedures relating to government relations.   |     |  |  |  |
| <b>GOVERNMENT RELATIONS MANAGEMENT</b> | Government Communications Management       | The activities involved in communicating formally with government bodies.                    | Activities include: liaising with government bodies; requesting information from government bodies; handling requests for information from government bodies.   | Records documenting general correspondence with government bodies.                                    | Yes | Article 6 S.1 (b), necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract.Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject.Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller.[University Charter] |  |  |

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| <b>GOVERNMENT RELATIONS MANAGEMENT</b> | Government Communications Management | The activities involved in communicating formally with government bodies.                     | Activities include: liaising with government bodies; requesting information from government bodies; handling requests for information from government bodies. | Records documenting requests for information from government bodies, the consideration of the requests, preparation of responses and the responses provided.  | Yes | Article 6 S.1 (b), necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract.<br>Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject.<br>Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller.<br>[University Charter] |  |  |
| <b>GOVERNMENT RELATIONS MANAGEMENT</b> | Government Consultations Management  | The activities involved in responding to formal consultations conducted by government bodies. | Activities include: conducting internal consultation processes in order to prepare formal corporate responses.  | Records documenting the consideration and preparation of the institution's formal responses to consultations conducted by government bodies (including records of internal consultation processes). | Yes | Article 6 S.1 (b), necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract.<br>Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject.<br>Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller.<br>[University Charter] |  |  |
| <b>GOVERNMENT RELATIONS MANAGEMENT</b> | Government Consultations Management  | The activities involved in responding to formal consultations conducted by government bodies. | Activities include: conducting internal consultation processes in order to prepare formal corporate responses.  | Records documenting the institution's formal responses to consultations conducted by government bodies.   | Yes | Article 6 S.1 (b), necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract.<br>Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject.<br>Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller.<br>[University Charter] |  |  |

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| <b>GOVERNMENT RELATIONS MANAGEMENT</b>    | Government Reporting                           | The activities involved in: 1) preparing and submitting statistical and other data and reports to government bodies 2) receiving and responding to data and reports from government bodies. | Activities include: conducting internal data collection exercises (where these are not part of routine data collection - see MANAGEMENT INFORMATION COLLECTION, ANALYSIS & REPORTING).   | Records documenting the preparation and submission of reports to government bodies.           | Yes | Article 6 S.1 (b), necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract. Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject. Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller. [University Charter] |  |  |
| <b>GOVERNMENT RELATIONS MANAGEMENT</b>    | Government Inquiries/Investigations Management | The activities involved in participating in formal inquiries and investigations conducted by government bodies.   | Activities include: liaising with government bodies carrying out inquiries and investigations; providing evidence to assist inquiries and investigations (e.g. by making formal submissions, by providing records or by making staff available). | Records documenting the institution's participation in formal government or public inquiries. | Yes | Article 6 S.1 (b), necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract. Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject. Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller. [University Charter] |  |  |
| <b>PARLIAMENTARY RELATIONS MANAGEMENT</b> |  | The function of managing the institution's relationships with parliamentary bodies.   |  |   |     |   |  |  |

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| <b>PARLIAMENTARY<br/>RELATIONS MANAGEMENT</b> | Parliamentary Relations<br>Strategy Development | The activities involved in<br>developing and establishing<br>the institution's<br>parliamentary relations<br>strategy. | Activities include: identifying<br>requirements for<br>new/revised strategy;<br>undertaking research;<br>developing strategy<br>proposals; consulting on<br>strategy proposals;<br>reviewing and revising<br>strategy proposals in the<br>light of comments received;<br>drafting strategy<br>documents; consulting on<br>strategy documents;<br>reviewing draft strategy<br>documents in the light of<br>comments received;<br>producing final strategy<br>documents; submitting final<br>strategy documents for<br>formal endorsement;<br>formally endorsing strategy<br>documents; disseminating<br>strategy documents;<br>reviewing strategy. | Records documenting the<br>development and<br>establishment of the<br>institution's parliamentary<br>relations strategy: key<br>records.    |  |  |  |  |
| <b>PARLIAMENTARY<br/>RELATIONS MANAGEMENT</b> | Parliamentary Relations<br>Strategy Development | The activities involved in<br>developing and establishing<br>the institution's<br>parliamentary relations<br>strategy. | Activities include: identifying<br>requirements for<br>new/revised strategy;<br>undertaking research;<br>developing strategy<br>proposals; consulting on<br>strategy proposals;<br>reviewing and revising<br>strategy proposals in the<br>light of comments received;<br>drafting strategy<br>documents; consulting on<br>strategy documents;<br>reviewing draft strategy<br>documents in the light of<br>comments received;<br>producing final strategy<br>documents; submitting final<br>strategy documents for<br>formal endorsement;<br>formally endorsing strategy<br>documents; disseminating<br>strategy documents;<br>reviewing strategy. | Records documenting the<br>development and<br>establishment of the<br>institution's parliamentary<br>relations strategy: working<br>papers. |  |  |  |  |



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| <b>PARLIAMENTARY<br/>RELATIONS MANAGEMENT</b> | Parliamentary Relations<br>Policy Development | The activities involved in developing and establishing the institution's policies on parliamentary relations. | Activities include: identifying requirements for new/revised policy; undertaking research; developing policy proposals; consulting on policy proposals; reviewing and revising policy proposals in the light of comments received; drafting policy documents; consulting on policy documents; reviewing draft policy documents in the light of comments received; producing final policy documents; submitting final policy documents for formal approval; formally approving policy documents; disseminating policy documents; reviewing policy. | Records documenting the development and establishment of the institution's parliamentary relations policies: key records.    |  |  |  |  |
| <b>PARLIAMENTARY<br/>RELATIONS MANAGEMENT</b> | Parliamentary Relations<br>Policy Development | The activities involved in developing and establishing the institution's policies on parliamentary relations. | Activities include: identifying requirements for new/revised policy; undertaking research; developing policy proposals; consulting on policy proposals; reviewing and revising policy proposals in the light of comments received; drafting policy documents; consulting on policy documents; reviewing draft policy documents in the light of comments received; producing final policy documents; submitting final policy documents for formal approval; formally approving policy documents; disseminating policy documents; reviewing policy. | Records documenting the development and establishment of the institution's parliamentary relations policies: working papers. |  |  |  |  |

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| <b>PARLIAMENTARY<br/>RELATIONS MANAGEMENT</b> | Parliamentary Relations<br>Procedure Development | The activities involved in<br>developing the institution's<br>procedures for<br>parliamentary relations. | Activities include: identifying<br>needs for new/revised<br>procedure; undertaking<br>research; analysing work<br>processes; drafting<br>procedure documents;<br>consulting on procedure<br>documents; reviewing draft<br>procedure documents in the<br>light of comments received;<br>trialling procedure; refining<br>procedure as a result of<br>trials; submitting final<br>procedure documents for<br>formal approval; formally<br>approving procedure<br>documents; disseminating<br>procedure documents;<br>reviewing procedure. | Records documenting the<br>development of the<br>institution's procedures<br>relating to parliamentary<br>relations. |     |  |  |  |
| <b>PARLIAMENTARY<br/>RELATIONS MANAGEMENT</b> | Parliamentary Relations<br>Procedure Development | The activities involved in<br>developing the institution's<br>procedures for<br>parliamentary relations. | Activities include: identifying<br>needs for new/revised<br>procedure; undertaking<br>research; analysing work<br>processes; drafting<br>procedure documents;<br>consulting on procedure<br>documents; reviewing draft<br>procedure documents in the<br>light of comments received;<br>trialling procedure; refining<br>procedure as a result of<br>trials; submitting final<br>procedure documents for<br>formal approval; formally<br>approving procedure<br>documents; disseminating<br>procedure documents;<br>reviewing procedure. | Master copies of procedures<br>relating to parliamentary<br>relations.   |     |  |  |  |
| <b>PARLIAMENTARY<br/>RELATIONS MANAGEMENT</b> | Parliamentary<br>Communications<br>Management    | The activities involved in<br>communicating formally<br>with parliamentary bodies.                       | Activities include: liaising<br>with parliamentary bodies;<br>responding to questions,<br>requests for information etc.<br>from parliamentary bodies<br>and individual members of<br>parliaments.   | Records documenting<br>general correspondence<br>with parliamentary bodies.  | Yes | Article 6 S.1 (b), necessary<br>for the performance of a<br>contract to which the data<br>subject is party or in order<br>to take steps at the request<br>of the data subject prior to<br>entering into a contract.<br>Article 6 S.1 (c), necessary<br>for compliance with a legal<br>obligation to which the<br>controller is subject.<br>Article 6 S.1 (e), necessary<br>for the performance of a<br>task carried out in the public<br>interest or in the exercise of<br>official authority vested in<br>the controller.<br>[University Charter] |  |  |

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| <b>PARLIAMENTARY<br/>RELATIONS MANAGEMENT</b> | Parliamentary Communications Management | The activities involved in communicating formally with parliamentary bodies.                     | Activities include: liaising with parliamentary bodies; responding to questions, requests for information etc. from parliamentary bodies and individual members of parliaments. | Records documenting requests for information from parliamentary bodies, the consideration of the requests, preparation of responses and the responses provided.                      | Yes | Article 6 S.1 (b), necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract.<br>Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject.<br>Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller.<br>[University Charter] |  |  |
| <b>PARLIAMENTARY<br/>RELATIONS MANAGEMENT</b> | Parliamentary Consultations Management  | The activities involved in responding to formal consultations conducted by parliamentary bodies. | Activities include: conducting internal consultation processes in order to prepare formal corporate responses.  | Records documenting the preparation of the institution's formal responses to consultations conducted by parliamentary bodies (including records of internal consultation processes). | Yes | Article 6 S.1 (b), necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract.<br>Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject.<br>Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller.<br>[University Charter] |  |  |
| <b>PARLIAMENTARY<br/>RELATIONS MANAGEMENT</b> | Parliamentary Consultations Management  | The activities involved in responding to formal consultations conducted by parliamentary bodies. | Activities include: conducting internal consultation processes in order to prepare formal corporate responses.  | Records documenting the institution's formal responses to consultations conducted by parliamentary bodies.   | Yes | Article 6 S.1 (b), necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract.<br>Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject.<br>Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller.<br>[University Charter] |  |  |

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| <b>PARLIAMENTARY<br/>RELATIONS MANAGEMENT</b>   | Parliamentary Inquiries & Investigations Management | The activities involved in participating in formal inquiries and investigations conducted by parliamentary bodies.                             | Activities include: liaising with parliamentary bodies carrying out inquiries and investigations; providing evidence to assist parliamentary inquiries and investigations (e.g. by making formal submissions, by providing records or by making staff available).  | Records documenting the institution's participation in formal parliamentary inquiries.                                      | Yes | Article 6 S.1 (b), necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract.Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject.Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller.[University Charter] |  |  |
| <b>STUDENTS' UNION<br/>RELATIONS MANAGEMENT</b> |   | The function of managing the institution's relationship with its students' union, to fulfil its responsibilities under the Education Act 1994. |  |   |     |  |  |  |
| <b>STUDENTS' UNION<br/>RELATIONS MANAGEMENT</b> | Students' Union Relations Strategy Development      | The activities involved in developing and establishing the institution's students' union relations strategy.                                   | Activities include: identifying requirements for new/revised strategy; undertaking research; developing strategy proposals; consulting on strategy proposals; reviewing and revising strategy proposals in the light of comments received; drafting strategy documents; consulting on strategy documents; reviewing draft strategy documents in the light of comments received; producing final strategy documents; submitting final strategy documents for formal endorsement; formally endorsing strategy documents; disseminating strategy documents; reviewing strategy. | Records documenting the development and establishment of the institution's students' union relations strategy: key records. |     |  |  |  |

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| <b>STUDENTS' UNION<br/>RELATIONS MANAGEMENT</b> | Students' Union Relations<br>Strategy Development | The activities involved in developing and establishing the institution's students' union relations strategy.                             | Activities include: identifying requirements for new/revised strategy; undertaking research; developing strategy proposals; consulting on strategy proposals; reviewing and revising strategy proposals in the light of comments received; drafting strategy documents; consulting on strategy documents; reviewing draft strategy documents in the light of comments received; producing final strategy documents; submitting final strategy documents for formal endorsement; formally endorsing strategy documents; disseminating strategy documents; reviewing strategy. | Records documenting the development and establishment of the institution's students' union relations strategy; working papers. |  |  |  |  |
| <b>STUDENTS' UNION<br/>RELATIONS MANAGEMENT</b> | Students' Union Relations<br>Policy Development   | The activities involved in developing and establishing the institution's policies on managing its relationship with its students' union. | Activities include: identifying requirements for new/revised policy; undertaking research; developing policy proposals; consulting on policy proposals; reviewing and revising policy proposals in the light of comments received; drafting policy documents; consulting on policy documents; reviewing draft policy documents in the light of comments received; producing final policy documents; submitting final policy documents for formal approval; formally approving policy documents; disseminating policy documents; reviewing policy.                            | Records documenting the development and establishment of the institution's policies on students' union relations: key records. |  |  |  |  |

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| <b>STUDENTS' UNION<br/>RELATIONS MANAGEMENT</b> | Students' Union Relations<br>Policy Development | The activities involved in developing and establishing the institution's policies on managing its relationship with its students' union. | Activities include: identifying requirements for new/revised policy; undertaking research; developing policy proposals; consulting on policy proposals; reviewing and revising policy proposals in the light of comments received; drafting policy documents; consulting on policy documents; reviewing draft policy documents in the light of comments received; producing final policy documents; submitting final policy documents for formal approval; formally approving policy documents; disseminating policy documents; reviewing policy. | Records documenting the development and establishment of the institution's policies on students' union relations: working papers.   |  |  |  |  |
| <b>STUDENTS' UNION<br/>RELATIONS MANAGEMENT</b> | Students' Union Relations<br>Policy Development | The activities involved in developing and establishing the institution's policies on managing its relationship with its students' union. | Activities include: identifying requirements for new/revised policy; undertaking research; developing policy proposals; consulting on policy proposals; reviewing and revising policy proposals in the light of comments received; drafting policy documents; consulting on policy documents; reviewing draft policy documents in the light of comments received; producing final policy documents; submitting final policy documents for formal approval; formally approving policy documents; disseminating policy documents; reviewing policy. | Records documenting the development and establishment of the institution's code of practice on the oversight of the operations and finances of its students' union, as required by Section 22(3) of the Education Act 1994. |  |  |  |  |

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| <b>STUDENTS' UNION<br/>RELATIONS MANAGEMENT</b> | Students' Union Relations<br>Policy Development    | The activities involved in developing and establishing the institution's policies on managing its relationship with its students' union. | Activities include: identifying requirements for new/revised policy; undertaking research; developing policy proposals; consulting on policy proposals; reviewing and revising policy proposals in the light of comments received; drafting policy documents; consulting on policy documents; reviewing draft policy documents in the light of comments received; producing final policy documents; submitting final policy documents for formal approval; formally approving policy documents; disseminating policy documents; reviewing policy.   | Code of Practice required by Section 22(3) of the Education Act 1994.                                      |  |  |  |  |
| <b>STUDENTS' UNION<br/>RELATIONS MANAGEMENT</b> | Students' Union Relations<br>Procedure Development | The activities involved in developing the institution's procedures for managing its relationship with its students' union.               | <p>Activities include: identifying needs for new/revised procedure; undertaking research; analysing work processes; drafting procedure documents; consulting on procedure documents; reviewing draft procedure documents in the light of comments received; trialling procedure; refining procedure as a result of trials; submitting final procedure documents for formal approval; formally approving procedure documents; disseminating procedure documents; reviewing procedure.</p> <p>Activities include: preparing the institution's code of practice setting out how the provisions of s. 22 of the Education Act 1994 are to be implemented.</p> | Records documenting the development of the institution's procedures relating to students' union relations. |  |  |  |  |

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| <b>STUDENTS' UNION<br/>RELATIONS MANAGEMENT</b> | Students' Union Relations<br>Procedure Development   | The activities involved in developing the institution's procedures for managing its relationship with its students' union.   | <p>Activities include: identifying needs for new/revised procedure; undertaking research; analysing work processes; drafting procedure documents; consulting on procedure documents; reviewing draft procedure documents in the light of comments received; trialling procedure; refining procedure as a result of trials; submitting final procedure documents for formal approval; formally approving procedure documents; disseminating procedure documents; reviewing procedure.</p> <p>Activities include: preparing the institution's code of practice setting out how the provisions of s. 22 of the Education Act 1994 are to be implemented.</p> | Master copies of procedures relating to students' union relations.  |  |  |  |  |
| <b>STUDENTS' UNION<br/>RELATIONS MANAGEMENT</b> | Students' Union<br>Constitution Review &<br>Approval | <p>The activities involved in reviewing and approving the student's union constitution, other than formal review and approval by the institution's governing body.</p> <p>The institution's governing body is required to formally review and approve the students union's constitution. For records relating to this process, use 16.3 Governance – Governing Body Management. Use this section for all other activities.</p> |   | Records documenting the process of reviewing the students' union's constitution, as required by s. 22(2) of the Education Act 1994. |  |  |  |  |



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| <b>STUDENTS' UNION<br/>RELATIONS MANAGEMENT</b> | Students' Union Funding              | The activities involved in providing funding for the institution's students' union.  |  | Records documenting the process of negotiating and agreeing funding to be provided by the institution to its students' union.     |  |  |  |  |
| <b>STUDENTS' UNION<br/>RELATIONS MANAGEMENT</b> | Students' Union Financial Monitoring | The activities involved in monitoring the financial affairs of the institution's students' union, other than formal monitoring and, where appropriate, approval by the institution's governing body. |  | Records documenting the process of reviewing the students' union's budgets, as required by s. 22(2) of the Education Act 1994.    |  |  |  |  |
| <b>STUDENTS' UNION<br/>RELATIONS MANAGEMENT</b> | Students' Union Financial Monitoring | The activities involved in monitoring the financial affairs of the institution's students' union, other than formal monitoring and, where appropriate, approval by the institution's governing body. |  | Records documenting the monitoring of the students' union's financial affairs, as required by s. 22(2) of the Education Act 1994. |  |  |  |  |

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| <b>STUDENTS' UNION<br/>RELATIONS MANAGEMENT</b> | Students' Union Operations<br>Monitoring | The activities involved in monitoring the operations of the institution's students' union. | Activities include: monitoring the conduct of the students union's elections; monitoring the students' union's affiliations; monitoring and, where appropriate, investigating complaints against the students' union. | Records documenting the monitoring of elections to major offices in the institution's students' union, as required by s. 22(2) of the Education Act 1994 (1994 c. 30).    | Yes | Article 6 S.1 (b), necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract. Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject. Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller. [University Charter] |  |  |
| <b>STUDENTS' UNION<br/>RELATIONS MANAGEMENT</b> | Students' Union Operations<br>Monitoring | The activities involved in monitoring the operations of the institution's students' union. | Activities include: monitoring the conduct of the students union's elections; monitoring the students' union's affiliations; monitoring and, where appropriate, investigating complaints against the students' union. | Records documenting the monitoring of students' union affiliations, as required by s. 22(2) of the Education Act 1994 (1994 c. 30).                                       |     |   |  |  |
| <b>STUDENTS' UNION<br/>RELATIONS MANAGEMENT</b> | Students' Union Operations<br>Monitoring | The activities involved in monitoring the operations of the institution's students' union. | Activities include: monitoring the conduct of the students union's elections; monitoring the students' union's affiliations; monitoring and, where appropriate, investigating complaints against the students' union. | Records documenting the investigation and reporting on complaints against the students' union by independent investigators appointed by the institution's governing body. | Yes | Article 6 S.1 (b), necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract. Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject. Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller. [University Charter] |  |  |

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|-----------|--------------------------------|--|--|--|--|--|--|--|
| MARKETING |                                | The function of marketing the institution.   |  |  |  |  |  |  |
| MARKETING | Marketing Strategy Development | The activities involved in developing and establishing the institution's marketing strategy. | Activities include: identifying requirements for new/revised strategy; undertaking research; developing strategy proposals; consulting on strategy proposals; reviewing and revising strategy proposals in the light of comments received; drafting strategy documents; consulting on strategy documents; reviewing draft strategy documents in the light of comments received; producing final strategy documents; submitting final strategy documents for formal endorsement; formally endorsing strategy documents; disseminating strategy documents; reviewing strategy. | Records documenting the development and establishment of the institution's marketing strategy: key records.    |  |  |  |  |
| MARKETING | Marketing Strategy Development | The activities involved in developing and establishing the institution's marketing strategy. | Activities include: identifying requirements for new/revised strategy; undertaking research; developing strategy proposals; consulting on strategy proposals; reviewing and revising strategy proposals in the light of comments received; drafting strategy documents; consulting on strategy documents; reviewing draft strategy documents in the light of comments received; producing final strategy documents; submitting final strategy documents for formal endorsement; formally endorsing strategy documents; disseminating strategy documents; reviewing strategy. | Records documenting the development and establishment of the institution's marketing strategy: working papers. |  |  |  |  |

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|-----------|------------------------------|---|---|--|--|--|--|--|
| MARKETING | Marketing Policy Development | The activities involved in developing and establishing the institution's policies on marketing. | Activities include: identifying requirements for new/revised policy; undertaking research; developing policy proposals; consulting on policy proposals; reviewing and revising policy proposals in the light of comments received; drafting policy documents; consulting on policy documents; reviewing draft policy documents in the light of comments received; producing final policy documents; submitting final policy documents for formal approval; formally approving policy documents; disseminating policy documents; reviewing policy. | Records documenting the development and establishment of the institution's marketing policies: key records.    |  |  |  |  |
| MARKETING | Marketing Policy Development | The activities involved in developing and establishing the institution's policies on marketing. | Activities include: identifying requirements for new/revised policy; undertaking research; developing policy proposals; consulting on policy proposals; reviewing and revising policy proposals in the light of comments received; drafting policy documents; consulting on policy documents; reviewing draft policy documents in the light of comments received; producing final policy documents; submitting final policy documents for formal approval; formally approving policy documents; disseminating policy documents; reviewing policy. | Records documenting the development and establishment of the institution's marketing policies: working papers. |  |  |  |  |

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|-----------|---------------------------------|---|---|--|--|--|--|--|
| MARKETING | Marketing Procedure Development | The activities involved in developing the institution's procedures for marketing. | Activities include: identifying needs for new/revised procedure; undertaking research; analysing work processes; drafting procedure documents; consulting on procedure documents; reviewing draft procedure documents in the light of comments received; trialling procedure; refining procedure as a result of trials; submitting final procedure documents for formal approval; formally approving procedure documents; disseminating procedure documents; reviewing procedure. | Records documenting the development of the institution's procedures relating to marketing. |  |  |  |  |
| MARKETING | Marketing Procedure Development | The activities involved in developing the institution's procedures for marketing. | Activities include: identifying needs for new/revised procedure; undertaking research; analysing work processes; drafting procedure documents; consulting on procedure documents; reviewing draft procedure documents in the light of comments received; trialling procedure; refining procedure as a result of trials; submitting final procedure documents for formal approval; formally approving procedure documents; disseminating procedure documents; reviewing procedure. | Master copies of procedures relating to marketing.   |  |  |  |  |
| MARKETING | Market Research                 | The activities involved in carrying out market research.                          | Activities include: designing and developing market research tools; planning and conducting data collection; collecting, collating and analysing market research data.  | Records documenting the design and development of market research tools.                   |  |  |  |  |

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| MARKETING | Market Research               | The activities involved in carrying out market research.   | Activities include: designing and developing market research tools; planning and conducting data collection; collecting, collating and analysing market research data. | Market research data: data relating to identifiable individuals.                  | Yes | Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller.<br>[University Charter] |  |  |
| MARKETING | Market Research               | The activities involved in carrying out market research.   | Activities include: designing and developing market research tools; planning and conducting data collection; collecting, collating and analysing market research data. | Market research data: aggregated data and analyses.                               |     |  |  |  |
| MARKETING | Marketing Campaign Management | The activities involved in conducting marketing campaigns. | Activities include: planning marketing campaigns; developing marketing campaigns; implementing marketing campaigns; reviewing marketing campaigns.                     | Records documenting the design, implementation and review of marketing campaigns. |     |  |  |  |

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| MARKETING | Corporate Identity & Brand Management | The activities involved in managing the institution's corporate identity and brands.          | Activities include: designing the institution's corporate identity marks (logos, etc.); controlling use of corporate identity marks; compiling and ensuring use of corporate style guides. | Records documenting the design of the institution's corporate identity marks (logos etc.).                  |  |  |  |  |
| MARKETING | Corporate Identity & Brand Management | The activities involved in managing the institution's corporate identity and brands.          | Activities include: designing the institution's corporate identity marks (logos, etc.); controlling use of corporate identity marks; compiling and ensuring use of corporate style guides. | Records documenting the development of corporate style guides for official use of corporate identity marks. |  |  |  |  |
| MARKETING | Advertising Management                | The activities involved in advertising the institution's programmes, facilities and services. | Activities include: designing advertisements; placing advertisement; monitoring the impact of advertisements.  | Records documenting the development, placement and impact of advertisements.                                |  |  |  |  |

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| OTHER COMMERCIAL<br>SERVICE MANAGEMENT |                                  | The function of providing the [commercial service].                              |  |   |  |  |  |  |
| OTHER COMMERCIAL<br>SERVICE MANAGEMENT | [Commercial Service]<br>Strategy | The activities involved in developing the strategy for the [commercial service]. | Activities include: identifying requirements for new/revised strategy; undertaking research; developing strategy proposals; consulting on strategy proposals; reviewing and revising strategy proposals in the light of comments received; drafting strategy documents; consulting on strategy documents; reviewing draft strategy documents in the light of comments received; producing final strategy documents; submitting final strategy documents for formal endorsement; formally endorsing strategy documents; disseminating strategy documents; reviewing strategy. | Records documenting the development and establishment of the institution's [commercial service] strategy: key records.    |  |  |  |  |
| OTHER COMMERCIAL<br>SERVICE MANAGEMENT | [Commercial Service]<br>Strategy | The activities involved in developing the strategy for the [commercial service]. | Activities include: identifying requirements for new/revised strategy; undertaking research; developing strategy proposals; consulting on strategy proposals; reviewing and revising strategy proposals in the light of comments received; drafting strategy documents; consulting on strategy documents; reviewing draft strategy documents in the light of comments received; producing final strategy documents; submitting final strategy documents for formal endorsement; formally endorsing strategy documents; disseminating strategy documents; reviewing strategy. | Records documenting the development and establishment of the institution's [commercial service] strategy: working papers. |  |  |  |  |



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| OTHER COMMERCIAL<br>SERVICE MANAGEMENT | [Commercial Service] Policy<br>Development | The activities involved in<br>developing and establishing<br>the institution's policies for<br>the [commercial service]. | Activities include: identifying<br>requirements for<br>new/revised policy;<br>undertaking research;<br>developing policy proposals;<br>consulting on policy<br>proposals; reviewing and<br>revising policy proposals in<br>the light of comments<br>received; drafting policy<br>documents; consulting on<br>policy documents; reviewing<br>draft policy documents in<br>the light of comments<br>received; producing final<br>policy documents;<br>submitting final policy<br>documents for formal<br>approval; formally<br>approving policy<br>documents; disseminating<br>policy documents; reviewing<br>policy. | Records documenting the<br>development and<br>establishment of the<br>institution's [commercial<br>service] policies: key<br>records.    |  |  |  |  |
| OTHER COMMERCIAL<br>SERVICE MANAGEMENT | [Commercial Service] Policy<br>Development | The activities involved in<br>developing and establishing<br>the institution's policies for<br>the [commercial service]. | Activities include: identifying<br>requirements for<br>new/revised policy;<br>undertaking research;<br>developing policy proposals;<br>consulting on policy<br>proposals; reviewing and<br>revising policy proposals in<br>the light of comments<br>received; drafting policy<br>documents; consulting on<br>policy documents; reviewing<br>draft policy documents in<br>the light of comments<br>received; producing final<br>policy documents;<br>submitting final policy<br>documents for formal<br>approval; formally<br>approving policy<br>documents; disseminating<br>policy documents; reviewing<br>policy. | Records documenting the<br>development and<br>establishment of the<br>institution's [commercial<br>service] policies: working<br>papers. |  |  |  |  |

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| <b>OTHER COMMERCIAL<br/>SERVICE MANAGEMENT</b> | [Commercial Service]<br>Procedure Development | The activities involved in developing the institution's procedures for the [commercial service]. | Activities include: identifying needs for new/revised procedure; undertaking research; analysing work processes; drafting procedure documents; consulting on procedure documents; reviewing draft procedure documents in the light of comments received; trialling procedure; refining procedure as a result of trials; submitting final procedure documents for formal approval; formally approving procedure documents; disseminating procedure documents; reviewing procedure. | Records documenting the development of the institution's procedures relating to the [commercial service]. |  |  |  |  |
| <b>OTHER COMMERCIAL<br/>SERVICE MANAGEMENT</b> | [Commercial Service]<br>Procedure Development | The activities involved in developing the institution's procedures for the [commercial service]. | Activities include: identifying needs for new/revised procedure; undertaking research; analysing work processes; drafting procedure documents; consulting on procedure documents; reviewing draft procedure documents in the light of comments received; trialling procedure; refining procedure as a result of trials; submitting final procedure documents for formal approval; formally approving procedure documents; disseminating procedure documents; reviewing procedure. | Master copies of procedures relating to the [commercial service].   |  |  |  |  |
| <b>OTHER COMMERCIAL<br/>SERVICE MANAGEMENT</b> | [Commercial Service]<br>Operations Management | The activities involved in operating/providing the [commercial service].                         | The activities involved will depend on the type of service being provided.  | TO BE DEFINED BY THE INSTITUTION  |  |  |  |  |

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| <b>OTHER COMMERCIAL SERVICE MANAGEMENT</b> | [Commercial Service] Customer Relations Management | The activities involved in establishing and managing relationships with [commercial service] customers. | Activities include: handling enquiries; handling customer complaints; conducting customer surveys. | Records documenting enquiries about the [commercial service] and the responses provided.   | Yes | Article 6 S.1 (b), necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract.<br>Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject.<br>Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller.<br>[University Charter] |             |  |
| <b>OTHER COMMERCIAL SERVICE MANAGEMENT</b> | [Commercial Service] Customer Relations Management | The activities involved in establishing and managing relationships with [commercial service] customers. | Activities include: handling enquiries; handling customer complaints; conducting customer surveys. | Records documenting the handling of complaints from customers of the [commercial service]. | Yes | Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject.  | Potentially | Article 9 S.2 (b), necessary for the purposes of carrying out the obligations and exercising specific rights of the controller or of the data subject in the field of employment and social security and social protection law in so far as it is authorised by Union or Member State law or a collective agreement pursuant to Member State law providing for appropriate safeguards for the fundamental rights and the interests of the data subject.<br>Article 9 S.2 (f), necessary for the establishment, exercise or defence of legal claims or whenever courts are acting in their judicial capacity.<br>Article 9 S.2 (g) necessary for reasons of substantial public interest, on the basis of Union or Member State law which shall be proportionate to the aim pursued, respect the essence of the right to data protection and provide for suitable and specific measures to safeguard the fundamental rights and the interests of the data subject. |

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| <b>OTHER COMMERCIAL SERVICE MANAGEMENT</b> | [Commercial Service]<br>Customer Relations Management | The activities involved in establishing and managing relationships with [commercial service] customers. | Activities include: handling enquiries; handling customer complaints; conducting customer surveys. | Records documenting unsolicited customer feedback on the [commercial service] and the responses provided.                         | Yes | Article 6 S.1 (b), necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract.<br>Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject.<br>Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller.<br>[University Charter] |  |  |
| <b>OTHER COMMERCIAL SERVICE MANAGEMENT</b> | [Commercial Service]<br>Customer Relations Management | The activities involved in establishing and managing relationships with [commercial service] customers. | Activities include: handling enquiries; handling customer complaints; conducting customer surveys. | Records documenting the design of [commercial service] customer surveys and the (anonymised, if necessary) analysis of responses. |     |  |  |  |
| <b>OTHER COMMERCIAL SERVICE MANAGEMENT</b> | [Commercial Service]<br>Customer Relations Management | The activities involved in establishing and managing relationships with [commercial service] customers. | Activities include: handling enquiries; handling customer complaints; conducting customer surveys. | Individual responses to [commercial service] customer surveys.  | Yes | Article 6 S.1 (b), necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract.<br>Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject.<br>Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller.<br>[University Charter] |  |  |

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| OTHER CORPORATE SERVICE MANAGEMENT |                              | The function of providing the [corporate service].                              |  |  |  |  |  |  |
| OTHER CORPORATE SERVICE MANAGEMENT | [Corporate Service] Strategy | The activities involved in developing the strategy for the [corporate service]. | Activities include: identifying requirements for new / revised strategy; undertaking research; developing strategy proposals; consulting on strategy proposals; reviewing and revising strategy proposals in the light of comments received; drafting strategy documents; consulting on strategy documents; reviewing draft strategy documents in the light of comments received; producing final strategy documents; submitting final strategy documents for formal endorsement; formally endorsing strategy documents; disseminating strategy documents; reviewing strategy. | Records documenting the development and establishment of the institution's [corporate service] strategy: key records.    |  |  |  |  |
| OTHER CORPORATE SERVICE MANAGEMENT | [Corporate Service] Strategy | The activities involved in developing the strategy for the [corporate service]. | Activities include: identifying requirements for new / revised strategy; undertaking research; developing strategy proposals; consulting on strategy proposals; reviewing and revising strategy proposals in the light of comments received; drafting strategy documents; consulting on strategy documents; reviewing draft strategy documents in the light of comments received; producing final strategy documents; submitting final strategy documents for formal endorsement; formally endorsing strategy documents; disseminating strategy documents; reviewing strategy. | Records documenting the development and establishment of the institution's [corporate service] strategy: working papers. |  |  |  |  |

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| OTHER CORPORATE<br>SERVICE MANAGEMENT | [Corporate Service] Policy<br>Development | The activities involved in<br>developing and establishing<br>the institution's policies for<br>the [corporate service]. | Activities include: identifying<br>requirements for new /<br>revised policy; undertaking<br>research; developing policy<br>proposals; consulting on<br>policy proposals; reviewing<br>and revising policy proposals<br>in the light of comments<br>received; drafting policy<br>documents; consulting on<br>policy documents; reviewing<br>draft policy documents in<br>the light of comments<br>received; producing final<br>policy documents;<br>submitting final policy<br>documents for formal<br>approval; formally<br>approving policy<br>documents; disseminating<br>policy documents; reviewing<br>policy. | Records documenting the<br>development and<br>establishment of the<br>institution's [corporate<br>service] policies: key<br>records.    |  |  |  |  |
| OTHER CORPORATE<br>SERVICE MANAGEMENT | [Corporate Service] Policy<br>Development | The activities involved in<br>developing and establishing<br>the institution's policies for<br>the [corporate service]. | Activities include: identifying<br>requirements for new /<br>revised policy; undertaking<br>research; developing policy<br>proposals; consulting on<br>policy proposals; reviewing<br>and revising policy proposals<br>in the light of comments<br>received; drafting policy<br>documents; consulting on<br>policy documents; reviewing<br>draft policy documents in<br>the light of comments<br>received; producing final<br>policy documents;<br>submitting final policy<br>documents for formal<br>approval; formally<br>approving policy<br>documents; disseminating<br>policy documents; reviewing<br>policy. | Records documenting the<br>development and<br>establishment of the<br>institution's [corporate<br>service] policies: working<br>papers. |  |  |  |  |

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| OTHER CORPORATE<br>SERVICE MANAGEMENT | [Corporate Service]<br>Procedure Development | The activities involved in developing the institution's procedures for the [corporate service]. | Activities include: identifying needs for new / revised procedure; undertaking research; analysing work processes; drafting procedure documents; consulting on procedure documents; reviewing draft procedure documents in the light of comments received; trialling procedure; refining procedure as a result of trials; submitting final procedure documents for formal approval; formally approving procedure documents; disseminating procedure documents; reviewing procedure. | Records documenting the development of the institution's procedures relating to the [corporate service]. |  |  |  |  |
| OTHER CORPORATE<br>SERVICE MANAGEMENT | [Corporate Service]<br>Procedure Development | The activities involved in developing the institution's procedures for the [corporate service]. | Activities include: identifying needs for new / revised procedure; undertaking research; analysing work processes; drafting procedure documents; consulting on procedure documents; reviewing draft procedure documents in the light of comments received; trialling procedure; refining procedure as a result of trials; submitting final procedure documents for formal approval; formally approving procedure documents; disseminating procedure documents; reviewing procedure. | Master copies of procedures relating to the [corporate service].   |  |  |  |  |
| OTHER CORPORATE<br>SERVICE MANAGEMENT | [Corporate Service]<br>Operations Management | The activities involved in operating/providing the [corporate service].                         | The activities involved will depend on the type of service being provided.  | TO BE DEFINED BY THE INSTITUTION   |  |  |  |  |

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| <b>OTHER CORPORATE SERVICE MANAGEMENT</b> | [Corporate Service] Customer Relations Management | The activities involved in establishing and managing relationships with [corporate service] customers. | Activities include: handling enquiries; handling customer complaints; conducting customer surveys. | Records documenting enquiries about the [corporate service] and the responses provided.   | Yes | Article 6 S.1 (b), necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract.<br>Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject.<br>Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller.<br>[University Charter] |             |  |
| <b>OTHER CORPORATE SERVICE MANAGEMENT</b> | [Corporate Service] Customer Relations Management | The activities involved in establishing and managing relationships with [corporate service] customers. | Activities include: handling enquiries; handling customer complaints; conducting customer surveys. | Records documenting the handling of complaints from customers of the [corporate service]. | Yes | Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject.  | Potentially | Article 9 S.2 (b), necessary for the purposes of carrying out the obligations and exercising specific rights of the controller or of the data subject in the field of employment and social security and social protection law in so far as it is authorised by Union or Member State law or a collective agreement pursuant to Member State law providing for appropriate safeguards for the fundamental rights and the interests of the data subject.<br>Article 9 S.2 (f), necessary for the establishment, exercise or defence of legal claims or whenever courts are acting in their judicial capacity.<br>Article 9 S.2 (g) necessary for reasons of substantial public interest, on the basis of Union or Member State law which shall be proportionate to the aim pursued, respect the essence of the right to data protection and provide for suitable and specific measures to safeguard the fundamental rights and the interests of the data subject. |



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| <b>OTHER CORPORATE SERVICE MANAGEMENT</b> | [Corporate Service]<br>Customer Relations Management | The activities involved in establishing and managing relationships with [corporate service] customers. | Activities include: handling enquiries; handling customer complaints; conducting customer surveys. | Records documenting unsolicited customer feedback on the [corporate service] and the responses provided.                         | Yes | Article 6 S.1 (b), necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract.<br>Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject.<br>Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller.<br>[University Charter] |  |  |
| <b>OTHER CORPORATE SERVICE MANAGEMENT</b> | [Corporate Service]<br>Customer Relations Management | The activities involved in establishing and managing relationships with [corporate service] customers. | Activities include: handling enquiries; handling customer complaints; conducting customer surveys. | Records documenting the design of [corporate service] customer surveys and the (anonymised, if necessary) analysis of responses. |     |  |  |  |
| <b>OTHER CORPORATE SERVICE MANAGEMENT</b> | [Corporate Service]<br>Customer Relations Management | The activities involved in establishing and managing relationships with [corporate service] customers. | Activities include: handling enquiries; handling customer complaints; conducting customer surveys. | Individual responses to [corporate service] customer surveys.  | Yes | Article 6 S.1 (b), necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract.<br>Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject.<br>Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller.<br>[University Charter] |  |  |

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| OTHER STUDENT SERVICE MANAGEMENT |                            | The function of providing the [student service].                              |  |  |  |  |  |  |
| OTHER STUDENT SERVICE MANAGEMENT | [Student Service] Strategy | The activities involved in developing the strategy for the [student service]. | Activities include: identifying requirements for new / revised strategy; undertaking research; developing strategy proposals; consulting on strategy proposals; reviewing and revising strategy proposals in the light of comments received; drafting strategy documents; consulting on strategy documents; reviewing draft strategy documents in the light of comments received; producing final strategy documents; submitting final strategy documents for formal endorsement; formally endorsing strategy documents; disseminating strategy documents; reviewing strategy. | Records documenting the development and establishment of the institution's [student service] strategy: key records.    |  |  |  |  |
| OTHER STUDENT SERVICE MANAGEMENT | [Student Service] Strategy | The activities involved in developing the strategy for the [student service]. | Activities include: identifying requirements for new / revised strategy; undertaking research; developing strategy proposals; consulting on strategy proposals; reviewing and revising strategy proposals in the light of comments received; drafting strategy documents; consulting on strategy documents; reviewing draft strategy documents in the light of comments received; producing final strategy documents; submitting final strategy documents for formal endorsement; formally endorsing strategy documents; disseminating strategy documents; reviewing strategy. | Records documenting the development and establishment of the institution's [student service] strategy: working papers. |  |  |  |  |

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| <b>OTHER STUDENT SERVICE MANAGEMENT</b> | [Student Service] Policy Development | The activities involved in developing and establishing the institution's policies for the [student service]. | Activities include: identifying requirements for new / revised policy; undertaking research; developing policy proposals; consulting on policy proposals; reviewing and revising policy proposals in the light of comments received; drafting policy documents; consulting on policy documents; reviewing draft policy documents in the light of comments received; producing final policy documents; submitting final policy documents for formal approval; formally approving policy documents; disseminating policy documents; reviewing policy. | Records documenting the development and establishment of the institution's [student service] policies: key records.    |  |  |  |  |
| <b>OTHER STUDENT SERVICE MANAGEMENT</b> | [Student Service] Policy Development | The activities involved in developing and establishing the institution's policies for the [student service]. | Activities include: identifying requirements for new / revised policy; undertaking research; developing policy proposals; consulting on policy proposals; reviewing and revising policy proposals in the light of comments received; drafting policy documents; consulting on policy documents; reviewing draft policy documents in the light of comments received; producing final policy documents; submitting final policy documents for formal approval; formally approving policy documents; disseminating policy documents; reviewing policy. | Records documenting the development and establishment of the institution's [student service] policies: working papers. |  |  |  |  |

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| <b>OTHER STUDENT SERVICE MANAGEMENT</b> | [Student Service] Procedure Development | The activities involved in developing the institution's procedures for the [student service]. | Activities include: identifying needs for new / revised procedure; undertaking research; analysing work processes; drafting procedure documents; consulting on procedure documents; reviewing draft procedure documents in the light of comments received; trialling procedure; refining procedure as a result of trials; submitting final procedure documents for formal approval; formally approving procedure documents; disseminating procedure documents; reviewing procedure. | Records documenting the development of the institution's procedures relating to the [student service]. |  |  |  |  |
| <b>OTHER STUDENT SERVICE MANAGEMENT</b> | [Student Service] Procedure Development | The activities involved in developing the institution's procedures for the [student service]. | Activities include: identifying needs for new / revised procedure; undertaking research; analysing work processes; drafting procedure documents; consulting on procedure documents; reviewing draft procedure documents in the light of comments received; trialling procedure; refining procedure as a result of trials; submitting final procedure documents for formal approval; formally approving procedure documents; disseminating procedure documents; reviewing procedure. | Master copies of procedures relating to the [student service].   |  |  |  |  |
| <b>OTHER STUDENT SERVICE MANAGEMENT</b> | [Student Service] Operations Management | The activities involved in operating/providing the [student service].                         | The activities involved will depend on the type of service being provided.  | TO BE DEFINED BY THE INSTITUTION   |  |  |  |  |

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| <b>OTHER STUDENT SERVICE MANAGEMENT</b> | [Student Service] Customer Relations Management | The activities involved in establishing and managing relationships with [student service] customers. | Activities include: handling enquiries; handling customer complaints; conducting customer surveys. | Records documenting enquiries about the [student service] and the responses provided.   | Yes | Article 6 S.1 (b), necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract.<br>Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject.<br>Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller.<br>[University Charter] |             |  |
| <b>OTHER STUDENT SERVICE MANAGEMENT</b> | [Student Service] Customer Relations Management | The activities involved in establishing and managing relationships with [student service] customers. | Activities include: handling enquiries; handling customer complaints; conducting customer surveys. | Records documenting the handling of complaints from customers of the [student service]. | Yes | Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject.  | Potentially | Article 9 S.2 (b), necessary for the purposes of carrying out the obligations and exercising specific rights of the controller or of the data subject in the field of employment and social security and social protection law in so far as it is authorised by Union or Member State law or a collective agreement pursuant to Member State law providing for appropriate safeguards for the fundamental rights and the interests of the data subject.<br>Article 9 S.2 (f), necessary for the establishment, exercise or defence of legal claims or whenever courts are acting in their judicial capacity.<br>Article 9 S.2 (g) necessary for reasons of substantial public interest, on the basis of Union or Member State law which shall be proportionate to the aim pursued, respect the essence of the right to data protection and provide for suitable and specific measures to safeguard the fundamental rights and the interests of the data subject. |

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| <b>OTHER STUDENT SERVICE MANAGEMENT</b> | [Student Service] Customer Relations Management | The activities involved in establishing and managing relationships with [student service] customers. | Activities include: handling enquiries; handling customer complaints; conducting customer surveys. | Records documenting unsolicited customer feedback on the [student service] and the responses provided.                         | Yes | Article 6 S.1 (b), necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract.<br>Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject.<br>Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller.<br>[University Charter] |  |  |
| <b>OTHER STUDENT SERVICE MANAGEMENT</b> | [Student Service] Customer Relations Management | The activities involved in establishing and managing relationships with [student service] customers. | Activities include: handling enquiries; handling customer complaints; conducting customer surveys. | Records documenting the design of [student service] customer surveys and the (anonymised, if necessary) analysis of responses. |     |  |  |  |
| <b>OTHER STUDENT SERVICE MANAGEMENT</b> | [Student Service] Customer Relations Management | The activities involved in establishing and managing relationships with [student service] customers. | Activities include: handling enquiries; handling customer complaints; conducting customer surveys. | Individual responses to [student service] customer surveys.  | Yes | Article 6 S.1 (b), necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract.Article 6 S.1 (c), necessary for compliance with a legal obligation to which the controller is subject.Article 6 S.1 (e), necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller.[University Charter]             |  |  |