



## ProQuest Dialog Data Processing Addendum - GDPR

This Addendum, together with the Agreement (as defined below), constitutes the contract governing the processing by processor as contemplated under paragraph 3 of Article 28 of Regulation (EU) 2016/679 of the European Parliament and of the Council of 27 April 2016 on the protection of natural persons with regard to the processing of personal data and on the free movement of such data (the “**General Data Protection Regulation**” or “**GDPR**”).

Customer shall be and act as the “controller” (as defined in the GDPR) of all personal data (as defined below) and shall comply with its obligations as the controller under the GDPR. ProQuest shall be and act as the “processor” (as defined in the GDPR) and will comply with the requirements of the processor under Article 28 of the GDPR with respect to processing, on the Services (as defined below), of personal data covered by the GDPR.

This Addendum shall not be construed to impose any obligations beyond those required by the GDPR itself. Capitalised terms used herein and not defined herein shall have the meaning ascribed to them in the Agreement.

### 1. Definitions

- 1.1 “**Agreement**” means the Agreement(s) or other contract(s) pursuant to which ProQuest permits Customer to use the Services. This Addendum is incorporated in and forms a part of the Agreement.
- 1.2 “**Customer**” means the academic library or other organization who has authorized use of the Services on its behalf.
- 1.3 “**Data Controller**” means Customer, as controller under the GDPR.
- 1.4 “**Data Processor**” means ProQuest, as processor under the GDPR.
- 1.5 “**personal data**”, “**personal data breach**”, “**processing**” and “**data subject**” shall have the meaning specified for each term in the GDPR.
- 1.6 “**Services**” means the ProQuest® Dialog® research services that is ProQuest's web-based service specializing in professional content and workflow solutions for pharmaceutical, engineering, and patents research. ProQuest Dialog enables searchers of all types to discover new concepts and ideas while staying current on industry trends and competitors and includes collaboration tools that let you download results, save searches, and create custom reports.

### 2. Processing Details

#### 2.1 Subject-matter and duration of the processing

The subject-matter of the processing includes the provision to Data Controller of the Services and related implementation, migration, support incidental to the Services. The duration of the Processing shall be the term of the Agreement and a reasonable and limited period of time following its expiration or other termination (see Section 10 below (Return or Deletion)), all as further described herein and in the Agreement.

#### 2.2 Purpose of the processing

The purpose of the intended processing of personal data is for the provision to Data Controller of the Services and support related thereto and the performance of Data Processor’s obligations under the Agreement.

#### 2.3 Nature of the processing

The nature of the processing shall be to provide to Data Controller the Services pursuant to the Agreement, as further specified in the Service product documentation and as further instructed by Data Controller in its use of the Services. Data Processor may also provide related implementation, migration, support and other services to the extent described in the Agreement or other written order or instruction by Data Controller.

## 2.4 Type of personal data

The subject of the processing shall be personal data types consistent with the purposes described in Section 2.2 above and may, as applicable, include the following types of personal data, along with other categories as described in the Service product documentation:

- Basic staff and staff contact information
  - First and last names
  - Email addresses
  - Telephone numbers
- Staff related usage information, including records of staff operations and activity
- General usage information, including connection data (e.g., IP addresses)

Data Controller may also upload for processing in the Services additional personal data types that are consistent with the purposes described in Section 2.2 above; provided that in no event shall Data Controller process in the Service (a) special categories of data described in Article 9(1) of the GDPR, (b) an individual's credit card information, an individual's financial institution account numbers, student academic records, employment records or personal financial records or (c) any other data prohibited by the Agreement or the GDPR. Data Controller determines which personal data it uploads to the Service and shall have sole responsibility for the accuracy, quality, and legality of personal data processed in the Services and the means by which Data Controller acquired personal data.

## 2.5 Categories of Data Subjects

The categories of data subjects shall be determined by Data Controller and may include, without limitation, Data Controller's authorized personnel such as its library staff, faculty, and administrators.

## 3. **Data Controller instructions**

Data Processor shall process personal data only within the scope of Data Processor's obligations under the Agreement and the GDPR, according to documented instructions of Data Controller. This Addendum and the relevant terms of the Agreement constitute documented instructions of Data Controller with respect to the processing of personal data. Data Controller shall be responsible for having all necessary rights to collect and process and to allow collection and processing of all personal data contemplated hereunder.

## 4. **Confidentiality obligations of Data Processor personnel**

Data Processor shall take reasonable steps to ensure that only authorised personnel have access to personal data. All personnel of Data Processor engaged in the processing of personal data (i) will process personal data only in accordance with the Agreement and this Addendum, unless required to do so by Union or relevant Member State law and (ii) have committed to maintain the confidentiality of any personal data.

## 5. **Technical and organisational measures**

5.1 Taking into account the state of the art, the costs of implementation and the nature, scope, context and purposes of processing as well as the risk of varying likelihood and severity for the rights and freedoms of natural persons, Data Controller and Data Processor shall implement appropriate technical and organisational measures to ensure a level of security appropriate to the risk, including inter alia as appropriate:

- the encryption of personal data;
- the ability to ensure the ongoing confidentiality, integrity, availability and resilience of processing systems and services;
- the ability to restore the availability and access to personal data in a timely manner in the event of a physical or technical incident;
- a process for regularly testing, assessing and evaluating the effectiveness of technical and organisational measures for ensuring the security of the processing.

5.2 In assessing the appropriate level of security, account shall be taken of the risks that are presented by processing, in particular from accidental or unlawful destruction, loss, alteration, unauthorised disclosure of, or access to personal data transmitted, stored or otherwise processed.

5.3 The technical and organisational measures are set out in more detail in the Schedule 1 to this GDPR Addendum. Data Processor shall, upon request, provide Data Controller with information regarding the technical and organisational measures referred to in Schedule 1.

## 6. Subprocessors

- 6.1 Data Processor will ensure that: (a) any subprocessor it engages to process personal data under the Agreement on its behalf does so only on the basis of a written contract which imposes on such subprocessor data protection obligations no less protective of personal data than those imposed on Data Processor in this Addendum; and (b) where any such processor engaged by Data Processor fails to fulfil its data protection obligations, Data Processor shall remain fully liable to Data Controller for the performance of that other processor's obligations.
- 6.2 Data Controller hereby authorises Data Processor to engage affiliates (under common ownership with Data Processor) as specified below to participate in performance of Data Processor's obligations with respect to processing of personal data under the Agreement and this Addendum and to transfer personal data to such affiliates for such purpose. The specified affiliates and any other subprocessors, their respective jurisdictions of organisation and description of their activities are set forth on the ProQuest website, at <https://www.proquest.com/products-services/related/ProQuest-Privacy-Product-Specific.html#corp>
- 6.3 Data Controller hereby provides Data Processor with a general written authorisation to employ other subprocessors and to adjust the processing roles of the listed sub-processors. Data Processor shall inform Data Controller of any intended adjustment of processing roles and/or addition of sub-processors after the date of execution of this Addendum, thereby giving Data Controller the opportunity to object to such adjustment and/or addition. If Data Controller has a reasonable basis to object to Data Processor's use of a new subprocessor, Data Controller shall so notify Data Processor in a written notice that includes an explanation of the grounds for objection within 10 business days after receipt of Data Processor's notice regarding such new sub-processor. In the event Data Controller so objects, Data Processor will use reasonable efforts to work in good faith with Data Controller to find an acceptable, reasonable, alternate approach. If Data Processor is unable to make available such an alternative approach within a reasonable period of time, which shall not exceed sixty (60) days, Data Controller may terminate the applicable Service which cannot be provided without the use of the objected-to new sub-processor, without penalty or liability for either party, by providing written notice to Data Processor within thirty (30) days.
- 6.4 In addition, Data Processor uses data center facilities provided by unaffiliated third parties. The relevant data center providers and the respective locations of the data centers are listed on the ProQuest website, currently at <https://www.proquest.com/products-services/related/ProQuest-Privacy-Product-Specific.html#corp>

## 7. Data Transfer

Data Controller acknowledges and accepts that the provision of the Services under the Agreement requires the transfer of personal data to, and processing by, sub-processors in third countries (as set forth above), including certain countries outside the EEA. With respect to transfers of personal data to a sub-processor located outside of the EEA, Data Processor shall in advance of any such transfer ensure that such countries are recognised by the European Commission as providing an adequate level of data protection or that a mechanism is in place to provide appropriate safeguards and enforcement of personal data protection in compliance with the requirements of the GDPR.

## 8. Rights of Data Subjects

- 8.1 Data Processor shall provide Data Controller with instructions regarding the use, by Data Controller and/or its authorised users, of procedures or tools within the Services to allow Data Controller to access, rectify, erase, and block personal data relating to data subjects that is stored on the Services, and to export such personal data in a structured, commonly used and machine-readable format.
- 8.2 If Data Processor receives a request from Data Controller's data subject to exercise one or more of its rights under the GDPR, Data Processor will redirect the data subject to make its request directly to Data Controller. In addition, to the extent Data Controller, in its use of the Services, does not have the ability to address a data subject request, Data Processor shall upon Data Controller's request provide reasonable assistance in responding to such data subject request to the extent Data Processor is legally permitted to do so and the response to such data subject request is required under the GDPR.

**9. Assistance to Data Controller**

Taking into account the nature of processing and the information available to Data Processor, Data Processor shall provide such assistance to Data Controller as Data Controller reasonably requests in relation to Data Controller's compliance with the obligations pursuant to Articles 32 to 36 of the GDPR. Data Controller shall cover all costs incurred by Data Processor in connection with its provision of such assistance.

**10. Return or deletion of personal data after expiration or termination of Agreement**

After the expiration or other termination of the Agreement or a Service subscription, Data Processor shall, at the choice of Data Controller, make available, in the manner and for the period specified in the Agreement, all Data Controller's personal data on the relevant Service, and shall, after such period, delete existing copies of all personal data unless Union or Member State law requires storage of the personal data. Unless otherwise agreed or required by applicable law, deletion of personal data shall be completed within 120 days following termination of the relevant Service Subscription.

**11. Rights of Data Controller to audit**

- 11.1 Data Processor shall make available to Data Controller all information necessary to demonstrate compliance with the obligations laid down in Article 28 of the GDPR and allow for and contribute to audits, including inspections, conducted by Data Controller or another auditor mandated by Data Controller. For the avoidance of doubt, the cost of any such audit or inspection shall be paid by Data Controller, except as noted in Section 11.2.
- 11.2 Audit of data security shall be undertaken by Data Processor and/or the data center provider engaging, at their own expense, a duly qualified third party to audit Data Processor's operations and data center on an annual basis, and making available to Data Controller, at all times, an SSAE 16 or SSAE 18 Report or comparable third-party information security assessment report regarding the data center, along with other available security and privacy certifications.
- 11.3 If and to the extent Data Controller requires an additional audit or inspection to meet its obligations under the GDPR that would involve on-site access to a data center where personal data of other customers of Data Processor may be stored, Data Controller agrees that such audit or inspection shall be conducted at Data Controller's expense by a mutually acceptable independent third party. Data Controller shall also reimburse Data Processor for any time expended for any such on-site audits or inspections at Data Processor's then-current professional services rates, which shall be made available to Data Controller upon request. Before the commencement of any such on-site audit or inspection, Data Controller and Data Processor shall mutually agree upon the scope, timing, and duration of the audit or inspection in addition to such reimbursement rate.

**12. Data Protection Officer**

Data Processor and its affiliates have appointed a data protection officer or a primary contact for data privacy-related matter. The appointed person may be reached at [privacy@proquest.com](mailto:privacy@proquest.com) or such other address as published by Data Processor from time-to-time and further information regarding such person can be found on ProQuest's public website, currently at <http://www.proquest.com/about/Privacy-Home.html>.

**13. Notification in the event of a personal data breach**

Data Processor shall notify Data Controller without undue delay and, where feasible, not later than seventy-two (72) hours after becoming aware of a personal data breach.

**14. Conflicting Terms**

In the event of any conflict or inconsistency between the provisions of this Addendum and any prior terms or agreements between the parties with respect to the processing of personal data, including, without limitation, prior data processing agreement(s), the provisions of this Addendum shall prevail.

**DATA PRIVACY OFFICER OR CONTACT PERSON**

The parties' respective data privacy officers ("DPO") or contact persons for data protection enquiries is:

ProQuest	Customer ( <b>Please complete</b> )
DPO/Contact for data protection enquiries	DPO/Contact for data protection enquiries
Daniel Ayala	Name/Role: _____
Email: <a href="mailto:privacy@proquest.com">privacy@proquest.com</a>	Email: _____

The parties' authorized signatories have duly executed this Addendum:

**CUSTOMER INFORMATION AND SIGNATURE**

Customer (current complete legal name): \_\_\_\_\_

Customer current address: \_\_\_\_\_

Former name of Customer as it appears on the Agreement (if different): \_\_\_\_\_

**Customer signature:** \_\_\_\_\_

Printed Name: \_\_\_\_\_

Title: \_\_\_\_\_

Date: \_\_\_\_\_

**PROQUEST SIGNATURES**

**ProQuest LLC**

By:  \_\_\_\_\_  
DE87FFE859B840A...

Name: Daniel Ayala

Title: Director Global Information Security

Date: 6/14/2018

## SCHEDULE 1 TO PROQUEST® DIALOG® DATA PROCESSING ADDENDUM

### Technical and Organisational Measures

Further to the general principles set out in Section 5 of the Addendum, the below reflects Data Processor's current technical and organisational measures. Data Processor may change these from time to time so long as Data Processor does not materially decrease the overall security of the Workflow Services during a Subscription term. Changes will be published in the security and product documentation available on ProQuest's public website, currently at <http://www.proquest.com/about/Privacy-Home.html>.

#### 1. Ability to ensure the ongoing confidentiality and integrity of processing systems and services

- 1.1 Measures to prevent unauthorised persons from gaining physical access to data processing systems for processing or using personal data:
  - a) Definition of persons who are granted physical access;
  - b) Electronic access control;
  - c) Issuance of access IDs;
  - d) Implementation of policy for external individuals;
  - e) Alarm device or security service outside service times;
  - f) Division of premises into different security zones;
  - g) Implementation of key(-card) handling policy;
  - h) Security doors (electronic door opener, ID reader, CCTV);
  - i) Implementation of measures for on-premises security (e.g. intruder alert/notification).
- 1.2 Measures to prevent that unauthorised persons use data processing equipment:
  - a) Definition of persons who may access data processing equipment;
  - b) Implementation of policy for external individuals;
  - c) Password protection of personal computers.
- 1.3 Measures that ensure that persons entitled to use a data processing system gain access only to such personal data as they are entitled to accessing in accordance with their access rights:
  - a) Implementation of access rights for respective personal data and functions;
  - b) Requirement of identification vis-à-vis the data processing system (e.g. via ID and authentication);
  - c) Implementation of policy on access- and user-roles;
  - d) Evaluation of protocols in case of damaging incidents.
- 1.4 Measures to ensure that personal data processed on behalf of others are processed in compliance with Data Controller's instructions, including training of Data Processor personnel and documentation of Data Controller support requests.
- 1.5 Measures to ensure that data collected for different purposes can be processed separately such as the use of logical separation of data of each of Data Processor's clients.

#### 2. Ability to ensure the availability and resilience of processing systems and services

Measures to ensure that personal data is protected against accidental destruction or loss:

- a) Realisation of a regular backup schedule;
- b) Control of condition of data carriers for data backup purposes;
- c) Safe storage of data backups;
- d) Implementation and regular control of emergency power systems and overvoltage protection systems.

**3. Ability to restore the availability to access personal data in a timely manner in the event of a physical or technical incident**

Measures to ensure that personal data can be restored in a timely manner in the event of accidental destruction or loss:

- a) Implementation of an emergency plan;
- b) Protocol on the initiation of crisis- and/or emergency management.

**4. Procedures for regular testing, assessing and evaluating the effectiveness of technical and organisational measures for ensuring the security of the processing**

- a) Regular review of IT security related certifications (e.g. PCI);
- b) Monitoring of the Data Protection Officer, if designated, and IT review concerning the compliance with the determined processes and requirements for the configuration and operation of the systems.