

Filling the Record of processing activities for research at the VU

Jolien Scholten, specialist Research Data Management

Vrije Universiteit Amsterdam

j2.scholten@vu.nl

DCC coordinator meeting, June 21, 2022

Thanks to Mark Bruyneel, Martijn de Graaf and Alexey Pristupa for their input for this presentation



BY



Background

“Each controller [...] shall maintain a record of processing activities under its responsibility.” (art. 30 GDPR)

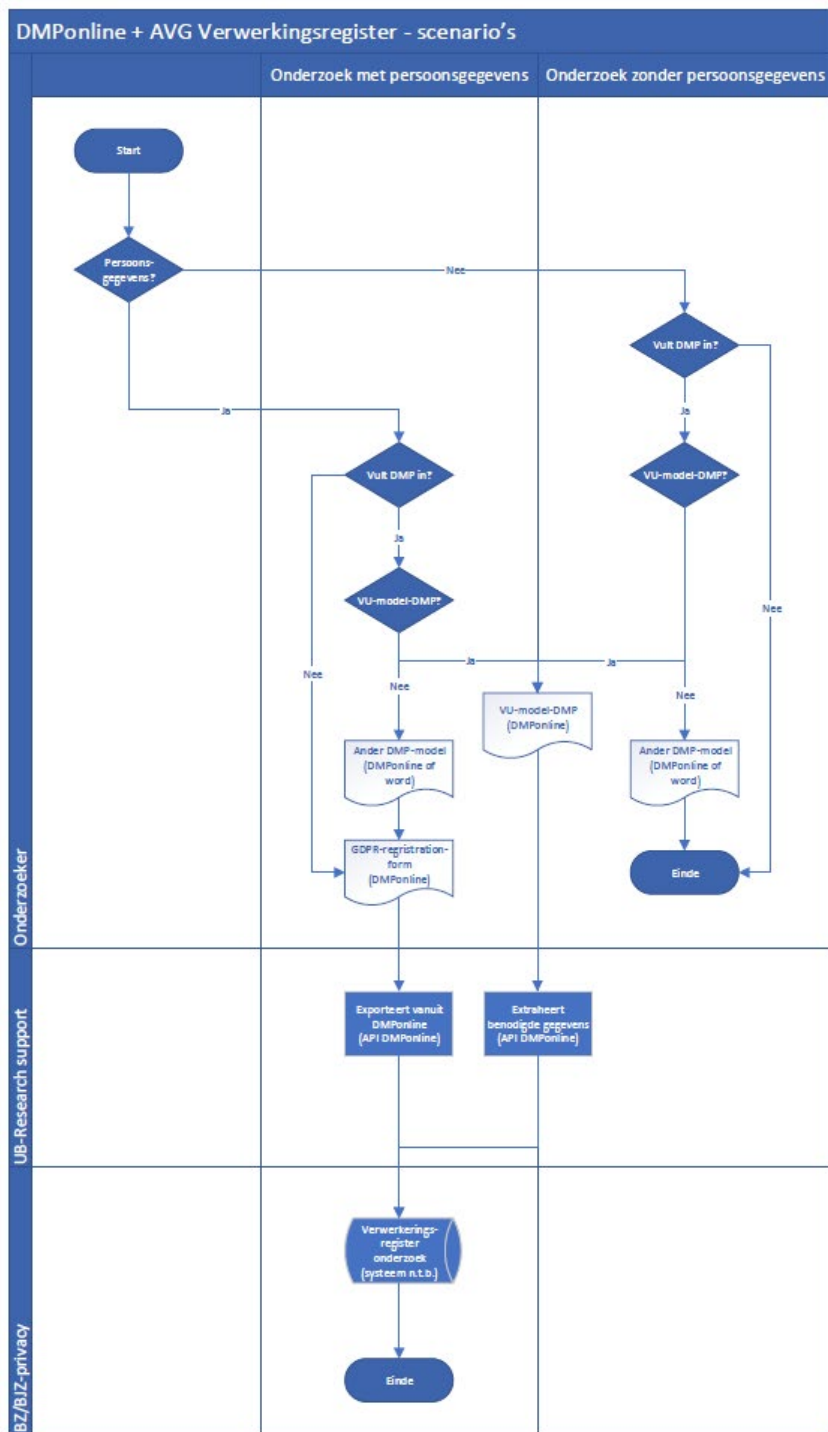
The record has to contain the following information:

- name and contact details of the controller
- purposes of the processing
- description of the categories of data subjects and of the categories of personal data
- categories of recipients to whom the personal data have been or will be disclosed
- transfers of personal data to a third country or an international organization
- the envisaged time limits for erasure of the different categories of data
- general description of the technical and organisational security measures

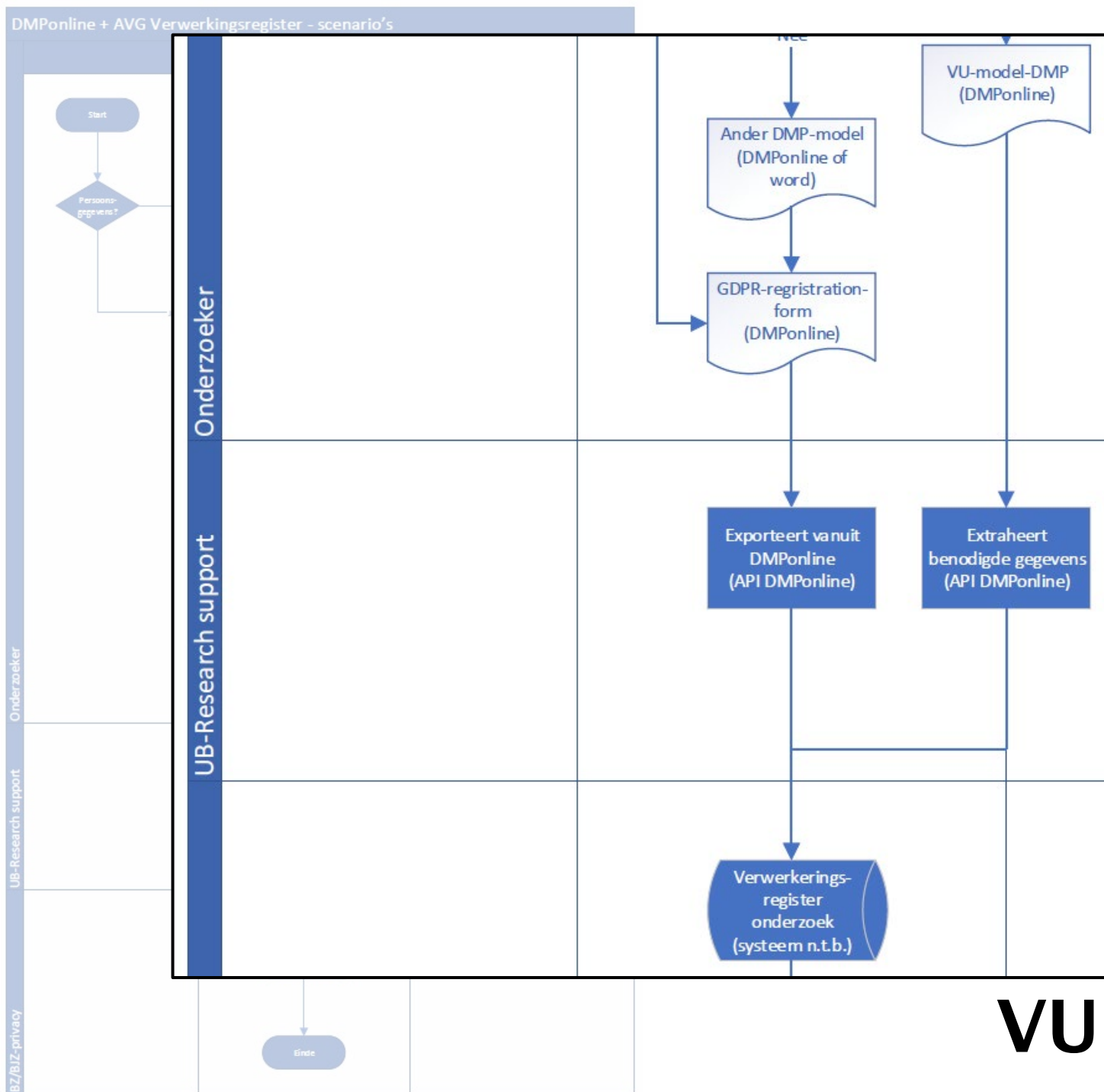
Background



Scenarios



Scenarios



People involved

- 2 central privacy lawyers/experts
- 3 central RDM specialists/data stewards
- 1 developer
- Coordination by DCC coordinator

Process and timeline

Preparing

- July 2021: First draft of questions by privacy experts
- August 2021: Discussion with group how to proceed
- September 2021: Discuss first draft of questions with the group
- September-December 2021: Improving questions in several rounds
- December 2021: Questions finalized

Process and timeline

Testing

- January 2022: Implement questions in DMPonline
- January/February 2022: Test templates in DMPonline and refine
- December 2021: Define what automated workflow to extract data from DMPonline should look like

Process and timeline

Implementing

- February 2022: Set up automated workflow to extract data from DMPonline
- May 2022: New DMP template published
- Future: Implement GDPR-specific template

GDPR-related questions in DMPonline

Describe the population/participants/subjects that will be studied

B *I*

Save

Comments & Guidance

Guidance

Comments

VU Amsterdam

DCC

Try to provide a general description without specific personal details.

[expand all](#) | [collapse all](#)

Data collection



Data description







GDPR-related questions in DMPonline

Do you process any of the following (personal) data?

- Name
- Contact details
- Addresses
- Financial information
- Information about family and personal relations
- Digital information (e.g. IP addresses, user names, and such)
- National identification numbers (e.g. BSN)
- Other, please specify below

Additional Information

B *I*    

Save

Comments & Guidance

Guidance

Comments

VU Amsterdam





If you are unsure whether the data you collect is personal data, please contact the **Faculty Privacy Champion**. Background information on research and personal data is also available on the [VU website](#). This includes the **10 Key Rules on privacy in research**.

GDPR-related questions in DMPOnline

Do you process the personal data based on informed consent?

- Yes, through a physical form
- Yes, with oral consent **
- Yes, using digital consent
- Yes, in a way different from the options above
- No, answer the next question

Additional Information

B *I*    

Save

Comments & Guidance

Guidance

Comments

VU Amsterdam

DCC

"Informed consent is one of the founding principles of research ethics. Its intent is that human participants can enter research freely (voluntarily) with full information about what it means for them to take part, and that they give consent **before** they enter the research. Consent should be obtained **before** the participant enters the research (prospectively), and there must be no undue influence on participants to consent. The minimum requirements for consent to be informed are that the participant understands what the research is and what they are consenting to" (Source: [University of Oxford website](#)). Multiple options are possible depending on the size and scope of the research.

** The use of oral consent is not advised. If the use of oral consent cannot be avoided please contact your [Privacy Champion](#).

GDPR-related questions in DMPonline

On what legal ground will the data processing take place if it is not based on informed consent?

- Not applicable, I use informed consent
- Performance of a contract with the research participants (art. 6.1b GDPR)
- Legitimate interest (art. 6.1f GDPR)

Additional Information

B *I*

Save

Comments & Guidance

Guidance

Comments

VU Amsterdam

DCC

If you are not sure what to mark as option(s), contact the **Faculty Privacy Champion**. More detailed information on article 6 of GDPR is available **online**.

Data description



GDPR-related questions in DMPonline

Does the data collection include any of the following types of personal data?

- Race or ethnic origin
- Political opinions
- Religious or philosophical beliefs
- Trade union membership
- Genetic data
- Biometric data for the purpose of identification of a natural person
- Data concerning health
- Data on a natural person's sex life or sexual orientation
- Data relating to criminal convictions and offences

Additional Information

B *I*

Save

Comments & Guidance

Guidance

Comments

VU Amsterdam

DCC





The categories of data listed here are special categories of personal data which require more protection than normal personal data. If you are not sure what to mark as option(s), contact the **Faculty Privacy Champion**.

Data description



GDPR-related questions in DMPonline

If your research involves special categories of personal data (previous question) and you will not use explicit informed consent, what is the legal ground for the exemption?

B *I*    

Save

Comments & Guidance

Guidance

Comments

VU Amsterdam

DCC

Scientific research often involves the processing of personal data. It is important for researchers to know what rules they have to comply with when processing personal data. A summary description of 10 key rules concerning privacy and scientific research is [available here](#) as background information. If you are not sure what to mark as option(s), contact the [Faculty Privacy Champion](#).

Data collection



GDPR-related questions in DMPonline

Which tools are used in the collection, processing or storage of data during research?

- Atlas.TI *
- Castor
- DropBox **
- Edugroepen
- Google Workspace for education **
- Matlab *
- Microsoft Teams
- NVivo
- OneDrive
- Open Science Framework (OSF)
- Qualtrics
- Python (software) *
- R (software) *
- Research Drive (Surf)
- SciCloud *
- SciStor *
- Sharepoint
- SURFDrive
- SURFfilesender
- Survalyzer
- Yoda
- Zivver
- Zoom
- Other (please specify below)

Additional Information

B *I*

Save

Comments & Guidance

Guidance

Comments

VU Amsterdam

DCC

If specific tools or software are used for research, this can mean that the software vendor that provides the software / tool is actively involved (directly or indirectly) in the data collection, processing and/or analysis. This can mean that a vendor could somehow have access to sensitive or personal data. The Vrije Universiteit Amsterdam has specific contracts with software vendors that cover issues like this and where their role as data processor is described.

For the tools in the list above a contract with a vendor exists. When a tool has an asterisk (*) behind the name, that means no external vendor is involved as data processor. See also [definitions](#) where GDPR is involved.

** means that the tool is not recommended as an option for research. Better options are: Research Drive, SciStor, Yoda or Open Science Framework.

[expand all](#) | [collapse all](#)

Data collection +

Roles & responsibilities +

Storage & security +

Technical use

Current

- Researcher writes a DMP
- Daily script extracts data from DMPonline with API and stores new or changed DMPs on a server (mock DMPs are not included)
- Downloads are stored on a server specific for this purpose; access rights only for developers and privacy lawyers

Future

- Raw downloads will be organized in database/dashboard format

Organizational use

- If Dutch Data Protection Authority requests insight in data processing, most recent download from DMPonline can be presented
- Data Protection Officer will look into the DMPonline downloads to investigate samples to see if they comply with the GDPR

Support

- RDM Support Desk is first line of contact when researchers are writing a DMP
- Privacy support will help with issues relating to privacy questions:
 - 1st line: Privacy Champions in the faculties
 - 2nd line: Central privacy experts
 - 3rd line: Data Protection Officer