



**GHENT
UNIVERSITY**

REGISTER OF PROCESSING ACTIVITIES

REGISTER OF PROCESSING ACTIVITIES

Obligation under **GDPR**

- Processing of personal data
- Principle of **accountability**

For research at **UGent**

- Incorporated in **DMPonline.be** - Data Management Plans
- Complete the **GDPR template** in your role as data controller or data processor

HOW TO START?

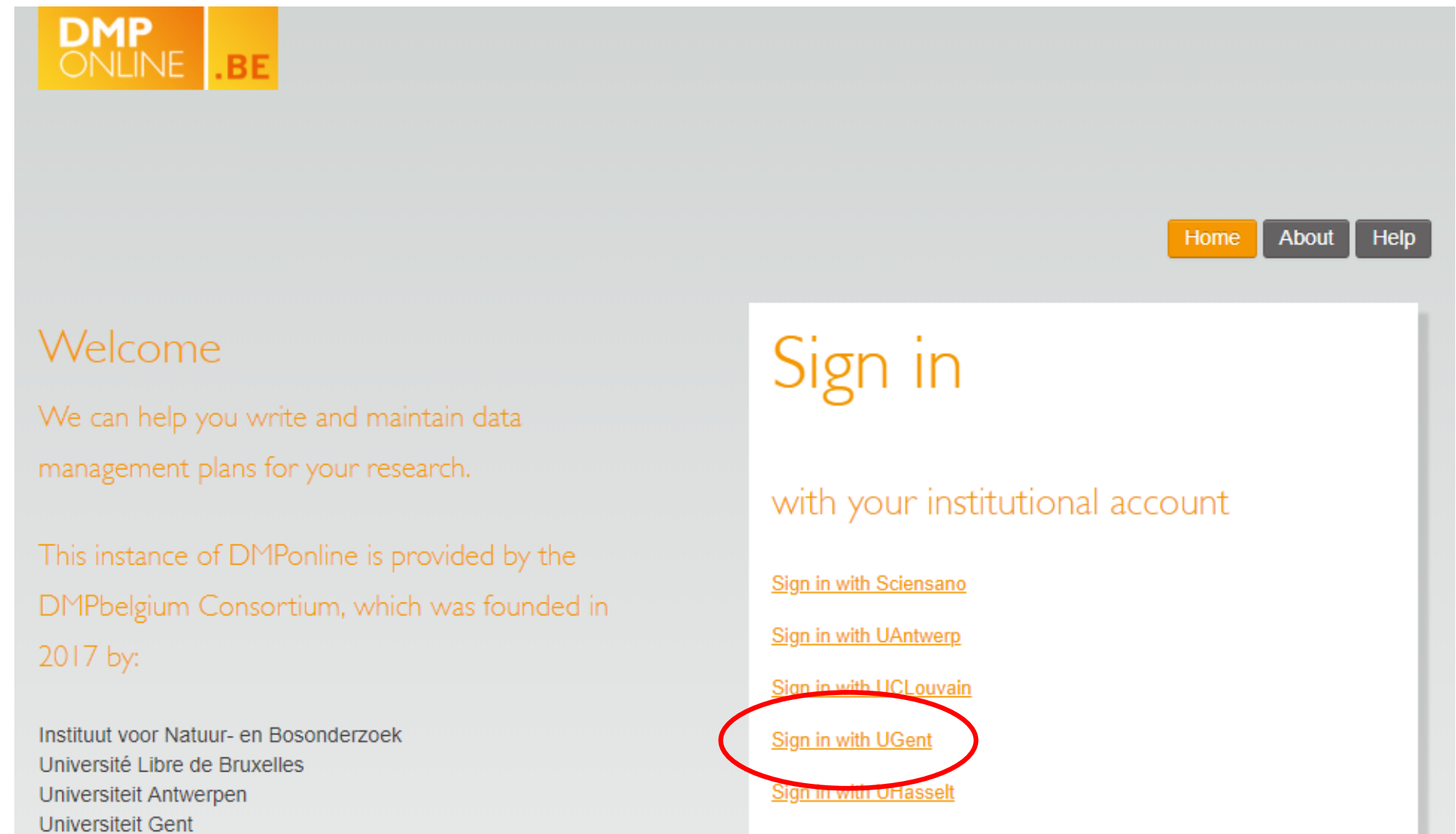
Surf to <https://dmponline.be>

Choose “**Sign on with UGent**”

You are usually taken to the UGent CAS page where you must enter your UGent username and password.

More information on writing a **DMP**

→ <https://onderzoektips.ugent.be/en/tips/00001281/>



The screenshot shows the DMP ONLINE .BE website. The top left corner features the logo 'DMP ONLINE .BE'. The top right corner has navigation buttons for 'Home', 'About', and 'Help'. The main content area is divided into two columns. The left column contains a 'Welcome' message: 'Welcome We can help you write and maintain data management plans for your research. This instance of DMPonline is provided by the DMPbelgium Consortium, which was founded in 2017 by: Instituut voor Natuur- en Bosonderzoek, Université Libre de Bruxelles, Universiteit Antwerpen, and Universiteit Gent.' The right column is titled 'Sign in with your institutional account' and lists several sign-in options: 'Sign in with Sciensano', 'Sign in with UAntwerp', 'Sign in with UCLouvain', 'Sign in with UGent' (circled in red), and 'Sign in with U Hasselt'.

GDPR RECORD

8 tabs

- Collection and processing of personal data
- Categories of personal data & data subjects
- Purpose(s) of the processing
- GDPR responsibility
- Data transfers & categories of recipients
- Retention period
- Risk analysis
- Security measures

The screenshot displays the 'GDPR test' interface. At the top right, there are buttons for 'View plans', 'Create plan', 'About', and 'Help'. Below these, a progress bar shows '0/28 questions answered' and 'approx. 15% of available space used (max 15 pages)'. The main content area features two tabs: 'Plan details' and 'GDPR Record'. Under the 'GDPR Record' tab, there is a list of 8 sections, each with a plus sign on the right:

- Collection and processing of personal data (4 questions, 0 answered)
- Categories of personal data & data subjects (5 questions, 0 answered)
- Purpose(s) of the processing (2 questions, 0 answered)
- GDPR responsibility (2 questions, 0 answered)
- Data transfers & categories of recipients (5 questions, 0 answered)
- Retention period (1 question, 0 answered)
- Risk analysis (4 questions, 0 answered)
- Security measures (3 questions, 0 answered)

An 'Export' button is located at the bottom right of the interface.

RECORD CONTENT

Background information

Question & answer

Comment

Guidance & comments

Save answer

The screenshot shows a web interface for a 'GDPR test'. At the top right, there are navigation links: 'View plans', 'Create plan', 'About', and 'Help'. Below these, a progress bar indicates '0/26 questions answered' and 'approx. 15% of available space used'. The main content area has two tabs: 'Plan details' and 'GDPR Record'. The 'GDPR Record' tab is active and contains a section titled 'Collection and processing of personal data (4 questions, 0 answered)'. This section includes two paragraphs of text explaining GDPR requirements. Below the text is a question: '1. Are you collecting or processing personal data?' with radio buttons for 'Yes' (selected) and 'No'. Underneath is a 'Comment' field with a rich text editor toolbar (bold, italic, list, link, etc.) and a 'Save' button. To the right of the question is a 'Guidance' box with a title 'Guidance' and an 'Add comment' button. The guidance text defines personal data as any information relating to an identified or identifiable natural person, providing examples like name, address, email, photo, ID number, IP address, employee number, telephone number, login details, cookies, account number, CV, log data, camera images, personnel files, wage data, and health data.

GUIDANCE & FAQ

Guidance provided in DMPonline

- For each question
- Explanation + examples

View plans Create plan About Help

GDPR test

0/20 questions answered
approx. 15% of available space used

Plan details GDPR Record

Collection and processing of personal data (4 questions, 0 answered)

When you collect or process personal data in your research, you must take the requirements of the GDPR into account. These requirements apply both when you collect personal data yourself, either directly or indirectly from the data subject and for a specific purpose (primary use), and when you reuse personal data that were previously collected, possibly for another purpose, by yourself or someone else (secondary use).

When processing personal data, it is important to inform the persons concerned (also called the 'data subjects') about this processing (principle of transparency), even if it concerns secondary use of personal data.

1. Are you collecting or processing personal data?

Yes
 No

Comment

B / [Rich text editor icons]

Save

Guidance Add comment

Guidance

Personal data are any information relating to an identified or identifiable natural person, i.e. a living individual (also called a 'data subject'). Examples of personal data include but are not limited to name, address, e-mail address, photo, ID number, IP address, employee number, private or professional telephone number (who-is-who), login details, identification cookies, account number, CV, log data (e.g. cafeteria, parking use, web use), camera images, personnel files, wage data, professional expenses, health data, ...

Check FAQs & research tips

- GDPR in research
- <https://onderzoektips.ugent.be/nl/tips/00001761/>

COLLECTION AND PROCESSING OF PERSONAL DATA

1. Are you **collecting or processing personal data**?

- Any information relating to an identified or identifiable natural living person
- Raw & pseudonymised data, not anonymous data (!)
- Special categories of personal data
- Examples of personal data include but are not limited to name, address, e-mail address, photo, ID number, IP address, employee number, private or professional telephone number (who-is-who), login details, identification cookies, account number, CV, log data (e.g. cafeteria, parking use, web use), camera images, personnel files, wage data, professional expenses, health data, ...

COLLECTION AND PROCESSING OF PERSONAL DATA

2. Are you collecting or processing **primary personal data** and/or **secondary** personal data?

→ **Primary** personal data implies that you are collecting the personal data directly or indirectly from the data subject for a specific purpose

For example, this is the case when you are collecting personal data via surveys

→ **Secondary** personal data means that you reuse personal data that was collected previously, possibly for another (research) purpose, by yourself or by someone else

→ If **both**: tick both boxes!

COLLECTION AND PROCESSING OF PERSONAL DATA

3. If you are **processing secondary personal data**, will you **inform** the persons whose personal data are being processed or have they already been informed?

→ **Transparency**

→ Obligation for **data controller**

→ Mandatory **information**:

- ✓ Identity & contact details **researcher**
- ✓ Contact details **DPO**
- ✓ **Purpose of** the processing
- ✓ **Legal basis** (lawfulness!) of the processing
- ✓ The **recipients** (if applicable)
- ✓ **Cross border data transfer** (if applicable)

! Exception possible for research

→ If providing information is **impossible** or involves a **disproportionate effort**

→ Motivate in **question 4**

COLLECTION AND PROCESSING OF PERSONAL DATA

4. If no, explain why it is **impossible** or why it would take a **disproportionate effort** to inform the persons whose personal data are being processed

- Exception needs clear **motivation**
- **No motivation = no exception**

CATEGORIES OF PERSONAL DATA & PERSONAL SUBJECTS

5. Are you collecting/processing any of the following **special categories of data**?

→ Special categories of data = special **attention**

- Data revealing racial or ethnic origin, political opinions, religious or philosophical beliefs, or trade union memberships
- Genetic data
- Biometric data for the purpose of uniquely identifying a natural person, such as audio recordings of voices, fingerprints, facial images, iris scans
- Data concerning health (physical and mental health), an individual's sex life, or an individual's sexual orientation
- Data relating to criminal convictions and offences
- None of the above

→ Multiple answers possible

CATEGORIES OF PERSONAL DATA & PERSONAL SUBJECTS

6. Which **other categories** of personal data are you collecting/processing?

- Identification data (names, titles, addresses, phone numbers, passport numbers, IP addresses, cookies, electronic location data (GPS, mobile phone)...))
- Financial details (bank account numbers, expenses, loans, ...)
- Personal characteristics (age, gender, date of birth, marital status, nationality...)
- Physical characteristics (height, weight...)
- Psychological details (personality, character...)
- Leisure activities and interests (hobbies, sports...)
- Consumption patterns
- Education and training
- Lifestyle habits
- Household composition; family membership
- Home characteristics
- Occupation and profession
- National insurance number
- Audio and video recordings
- Other (please specify below)

→ **Be complete**

→ Multiple answers possible

→ If not listed, use '**comment**' section

CATEGORIES OF PERSONAL DATA & PERSONAL SUBJECTS

7. Whose personal data are you collecting/processing?

- Children below** the age of 13
- Children between** the age of 13 and 16
- Children over** the age of 16
- Other vulnerable persons** (e.g. pregnant women, elderly persons, people with mental disorders, asylum seekers, disabled persons, ethnic minorities, sick people or patients)
- Others** (please specify below)

→ Processing this data may entail **further specific requirements** (ICF, DPIA)

→ Be **complete**

→ Multiple answers possible

→ If **not listed of 'others'** (non vulnerable persons), use **'comment' section**

CATEGORIES OF PERSONAL DATA & PERSONAL SUBJECTS

8. Will your **research** be **seriously hampered** if the persons whose personal data are being collected/processed **exercise** their **right to access, to rectification, to restriction of processing, to be forgotten, to data portability and/or to object?**

Rights of the data subjects:

- Right of access: a data subject can ask whether personal data are processed about him/her, which categories of personal data are processed, why they are processed and with whom they are shared
- Right to rectification: if the data are not correct, the data subjects can ask to correct or supplement them
- Right to be forgotten: in a number of cases and circumstances, the data subjects can have their personal data deleted
- Right to restriction of processing: if certain criteria are met, data subjects can ask you to (temporarily) stop processing their personal data
- Right to data portability: data subjects can request the transfer of personal data, processed by automated means and on the basis of their consent or the conclusion of a contract with the controller, in a structured, commonly used and machine-readable format
- Right to object to certain use of personal data and to automated decision-making and profiling

CATEGORIES OF PERSONAL DATA & PERSONAL SUBJECTS

If no: you need to be able to **guarantee** these rights to the data subjects

If yes: exceptions possible for research

- Providing information is **impossible** or involves a **disproportionate effort**
- GDPR still applies
- **Belgian law might apply**
- Motivate for each right in **question 9**
- ! Appropriate **security measures necessary** (see **question 26**)

9. If yes, please **justify** the need to **deviate** from one or more of **the rights** mentioned in question 8. A **justification is required for each deviation**

PURPOSE(S) OF THE PROCESSING

10. What is/are the **purpose(s)** of the personal data processing?

- Why (for what goals) are the personal data being processed in your research?
- Can be formulated concisely, but the wording should be understandable for non experts
- May be important for future research (reuse)
- Give a detailed description **for each purpose**
- Be **clear**
- Purpose **limitation!**

11. What is the **legal ground** for the processing? If the data are being processed for multiple purposes, you must describe the legal ground **for each purpose.**

- Lawfulness = legal ground
- **One** per purpose

GDPR RESPONSIBILITY

12. Is there **another university, research institute or partner involved** in the research (besides Ghent University)?

→ F.e. research consortia or other collaborations

→ ! Processors

If no: Ghent University defines the purposes ('why') and the means ('how') of the research & is **sole data controller**

13. If yes, please **specify who** determines the purposes ('why') and the means ('how') of the research

- This is determined within Ghent University: UGent is the data controller
- This is determined together with a researcher/university/institution outside Ghent University: UGent is a joint controller
- This is determined outside Ghent University: UGent is a data processor (please specify contact details of the data controller and its data protection officer below)

→ Only **one option** possible

→ **Specify** in 'comment' section contact details of the processor / other researcher/university/institution outside Ghent University

DATA TRANSFERS & CATEGORIES OF RECIPIENTS

14. Are you disclosing/sharing/transferring personal data beyond your project team, either with recipients in **UGent or **UZ Gent**, or with **external recipients**?**

- Personal data = research data
- During & after research project
- Transferring & sharing

If no: your data will only be processed and accessed by you & the researchers in your research team

If yes: specify in question **15**

DATA TRANSFERS & CATEGORIES OF RECIPIENTS

15. If yes, to or with which categories of recipients are the personal data being disclosed/shared/transferred?

- The persons whose personal data are being collected/processed (**data subjects**)
- Personal **contacts** of the data subjects
- Other researchers **within your department**
- Other researchers **within UGent**
- Other researchers **outside UGent**
- Government** services/departments
- Justice** and police departments
- Social** security agencies
- Private** companies (e.g. data processors, cloud service providers, ...)
- Banks and insurance **companies**
- Consultants** in processing of personal data or direct marketing
- Others (please specify below)

→ Sharing & disclosing & transferring

→ Multiple answers possible

→ Specify below: others + short description of recipients + contact details

DATA TRANSFERS & CATEGORIES OF RECIPIENTS

16. If yes, where are the personal data being **disclosed/shared/transferred** to?

- Belgium
- Another country **within** the European Economic Area (EEA) (please specify the country below)
- A country **outside** the European Economic Area (EEA) but on the European Commission's 'white list' (please specify the country below)
- A country outside the European Economic Area (EEA) and not on the 'white list' (please specify the country below)
- An international organisation (please specify below, including the location of the organisation)

→ Outside EEA = **adequate data transfer mechanism necessary!**

→ **Specify** below: country + short description of recipients + contact details

→ Multiple answers possible

DATA TRANSFERS & CATEGORIES OF RECIPIENTS

17. What is/are the **purpose(s)** of the **data transfer**?

- Why (for what goals) are the personal data being processed in your research?
- Can be formulated concisely, but the wording should be understandable for non experts
- Give a detailed description **for each purpose**
- ≠ necessary the same as purpose(s) of research
- **Be clear**
- **Purpose limitation!**

18. What is the **legal ground** for the **data transfer**? If there will be multiple data transfers, you need to indicate the legal ground **for each data transfer**.

- Lawfulness = legal ground
- **One** per data transfer
- ≠ necessary the same as purpose(s) of research

RETENTION PERIOD

19. What is the **envisaged retention period** for the **different categories** of personal data? Please motivate.

- How **long** will the data be **retained/preserved** and why?
- Which **criteria** will be used to **determine** the retention period and why?
- Not longer than **necessary** for the **purpose**
- **Motivate**
- Appropriate **safety measures** necessary

RISKS ANALYSIS

20. To analyse **the possible risks** associated with the processing of personal data, please tick the **boxes** that apply to this research.

- Special categories** of personal data are processed in this research (see question 5)
- Personal data of **children or other vulnerable persons** are processed in this research (see question 7)
- Personal data are processed on a **large scale** (please consider the number of data subjects concerned, either as a specific number or as a proportion of the relevant population)
- Aspects concerning the data subject's performance at **work, economic situation, health, personal preferences or interests, reliability or behavior, location or movements** are evaluated or scored, profiled or predicted
- The data are **transferred beyond the borders** of the EU or the EEA, or to a country not listed on the 'white list' (see question 16)
- The research involves datasets that have been or will be **matched or combined**
- The processing aims at taking **decisions** producing legal effects concerning the data subject or similarly significant effects for the data subject. For example, the processing may lead to exclusion of or discrimination against individuals
- The processing **prevents data subjects from** exercising a right or using a service or a contract
- The research involves the **systematic monitoring** of persons in one or more publicly accessible areas
- The research involves innovative use or application of **technological or organisational solutions**, like combining the use of finger print and face recognition for improved physical access control
- The research involves the processing of **non-pseudonymised personal data**

→ **2 of more boxes ticked = potential high risk = YES to question 21**

RISKS ANALYSIS

21. Does the research constitute a **probable high-risk processing**? If you ticked **two or more boxes in question 20**, the answer is **'yes'**

- Needs **specific motivation**
- Questions **22, 23 & 25**

22. If yes, explain **why** the processing is **necessary** to achieve the **purposes of the research**

- Clear **description**
- **Balance** between **interests research & society vs. privacy & fundamental rights data subjects**
- Not **necessary**? Reassess **design**?

23. If yes, provide **more details for any of the risks** that you have ticked **in question 20**

- **F.e.** 'the data are **transferred beyond the borders** of the EU or the EEA, or to a country not listed on the 'white list' (see question 16)
- Where?
- Why?
- How & when?

SECURITY MEASURES

24. What **technical and organisational security measures** are in place to protect personal data?

- I hereby confirm that I carry out my research in accordance with the information security policy of UGent
- Additional security measures will be or have been taken (please specify below)

- Basic level of security = UGent information security policy
- <https://www.ugent.be/intranet/nl/op-het-werk/ict/informatieveiligheid>
- Additional measures f.e. pseudonymisation, encryption, ...
- Both options possible

25. If you answered '**yes**' to question **21** (which means that your research constitutes a **probable high-risk** processing), **indicate** whether the **security measures** taken are **sufficient** to protect the rights and freedoms of the people whose data you collect/process.

- Basic level of security = UGent information security policy
- <https://www.ugent.be/intranet/nl/op-het-werk/ict/informatieveiligheid>
- Additional measures f.e. pseudonymisation, encryption, ...
- Both options possible

SECURITY MEASURES

26. If you have motivated the need to **deviate from** one or more of the **rights of the persons whose personal data you are collecting/processing** in question **8 and 9**, please **describe** which **safeguards** are put in place to protect their rights and freedoms.

- Your **research will be seriously hampered** if the persons whose personal data are being collected/processed **exercise their right to access, to rectification, to restriction of processing, to be forgotten, to data portability and/or to object**
- Security measures **per deviation**

GDPR RECORD

Save all your answers & comments

25. If you answered 'yes' to question 21 (which means that your research constitutes a probable high-risk processing), indicate whether the security measures taken are sufficient to protect the rights and freedoms of the people whose data you collect/process.

B *I* [List] [List] [List] [Link] [Grid]

Save

Not answered yet

26. If you have motivated the need to deviate from one or more of the rights of the persons whose personal data you are collecting/processing in question 8 and 9, please describe which safeguards are put in place to protect their rights and freedoms.

B *I* [List] [List] [List] [Link] [Grid]

Save

Not answered yet

Add comment

Please add a comment

B *I* [List] [List] [List] [Link] [Grid]

Save

Guidance **Add comment**

Guidance

For more information see FAQ x.

Export

IMPORTANT DOCUMENTS

GDPR

→ <https://eur-lex.europa.eu/legal-content/NL/TXT/?uri=celex%3A32016R0679>

Belgian law

→ http://www.ejustice.just.fgov.be/cgi_loi/change_lg.pl?language=nl&la=N&table_name=wet&cn=2018073046

UGent

→ Generic code of conduct for the processing of personal data

https://www.ugent.be/intranet/en/regulations/code_of_conduct

→ Policy framework for research data management at Ghent University

<https://www.ugent.be/en/research/datamanagement>

HELP?

Privacy@UGent.be

For general questions, questions about processor agreements, transfer to third countries,...

QUESTIONS?



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