What You Need to Know About Addressing GDPR Data Subject Rights in *Research Professional

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Record of Changes

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Disclaimer

This paper is based on Ex Libris' understanding of certain requirements of the GDPR. However, the application of the requirements of the GDPR is highly fact specific, and many aspects and interpretations of GDPR are not well-settled.

As a result, this paper is provided for informational purposes only and should not be relied upon as legal advice or to determine how GDPR might apply to you and your organization. We encourage you to work with a qualified legal professional to discuss GDPR, how it applies specifically to your organization, and how best to ensure compliance.

Introduction

On May 25, 2018, a new privacy law called the General Data Protection Regulation
(GDPR) took effect in the European Union (EU). It replaced the Data Protection Directive (Directive"), which has been in effect since 1995. While the GDPR preserves many of the principles established in the Directive, the GDPR gives individuals greater control over their personal data and imposes many new obligations on organizations that collect, handle, or process personal data.

Ex Libris is committed to GDPR compliance across all of our products and services. We have closely analyzed the requirements of the GDPR, and our engineering, product, security and legal teams have been working to align our procedures, documentation, contracts and services to support compliance with the GDPR. We also support our customers with their GDPR compliance journey with our strong foundation of certified security and privacy controls.

This paper describes tools and capabilities built into *Research Professional that can assist your organization in addressing data subject rights and requests as a *controller* under the GDPR of personal data processed in *Research Professional.

Definitions

Personal Data means any information relating to an identified or an identifiable natural person (**Data Subject**); an identifiable natural person is one who can be

identified, directly or indirectly, in particular by reference to an identifier such as a name, an identification number, location data, an online identifier or to one or more factors specific to the physical, physiological, genetic, mental, economic, cultural or social identity of that person.

Controller means the natural or legal person, public authority, agency or other body which, alone or jointly with others, determines the purposes and means of the processing of personal data. Where the purposes and means of such processing are determined by Union or Member State law, the controller or the specific criteria for its nomination may be provided for by Union or Member State law. With respect to the use of *Research Professional, the customer is the **controller**.

Processor means a natural or legal person, public authority, agency or other body which processes personal data on behalf of the controller. With respect to the use of *Research Professional, Ex Libris is the **processor**.

Data Subject is an identified or an identifiable natural person to whom personal data relates (e.g., researchers with scholarly profiles in *Research Professional, *Research Professional users and staff).

As you read through this paper, keep in mind that your compliance with the GDPR involves your role as the **controller** and Ex Libris as the **processor**.

Summary of Data Subject Rights

The rights of data subjects provided by the GDPR include the following:

1. Right to be Informed (Article 13, 14 GDPR)

The right to be informed encompasses your obligation to provide '*fair processing information*', typically through a privacy notice. It emphasizes the need for transparency over how you use personal data.

2. Right of Access (Article 15 GDPR)

Under the GDPR, individuals have the right to obtain:

- Confirmation that their data is being processed
- Access to their personal data; and
- Other categories of information - some of which should be provided by the controller in a privacy notice (see Article 15).

3. Right to Rectification (Article 16 GDPR)

Individuals are entitled to have their personal data rectified if it is inaccurate or incomplete without undue delay. If you have disclosed the personal data in question to third parties, you must inform such third parties of the rectification unless this proves impossible or involves disproportionate effort. You must also inform the individuals about the third parties to whom the data has been disclosed where requested.

4. Right to Erasure (Article 17 GDPR)

This right is also known as the *Right to be Forgotten*. It enables an individual to request the deletion or removal of personal data where there is no compelling reason for its continued processing.

Individuals have the right to have their personal data erased and to prevent further processing of their personal data in specific circumstances delineated in the GDPR, such as:

- Where the personal data is no longer necessary in relation to the purpose for which it was originally collected/processed.
- When the processing was based on consent, and the individual has now withdrawn their consent.
- When the individual objects to processing and there are no overriding legitimate grounds for continuing the processing.
- The personal data was unlawfully processed.

- The personal data has to be erased in order to comply with a legal obligation in Union or Member State law to which the controller is subject.

There are circumstances described in the GDPR where the right to erasure may not apply and a controller can resist a request for erasure.

5. Right to Restrict Processing (Article 18 GDPR)

When this right is exercised you are permitted to store the personal data but not further process it. The *Right to Restrict Processing* applies in the specific circumstances set forth in the GDPR, including:

- Where an individual contests the accuracy of the personal data, then processing should be restricted for a period enabling the controller to verify the accuracy of the personal data.
- When processing is unlawful and the individual opposes erasure and requests restriction instead.
- If you no longer need the personal data but are required by the individual to establish, exercise or defend a legal claim.
- Where an individual has objected to processing for reasons specified in the GDPR, pending the verification whether the legitimate grounds of the controller override those of the individual.

6. Right to Data Portability (Article 20 GDPR)

This right allows individuals to receive the personal data the individual provided to a controller in a structured, commonly used and machine-readable format and to transmit such data to another controller, without hindrance from the original controller. In exercising this right, the individual shall have the right to have the personal data transmitted directly from one controller to another, where technically feasible.

The *Right to Data Portability* applies where the individual has given consent to the processing of their personal data for one or more specific purposes, or where processing is carried out by automated means or in other circumstances specified in the GDPR.

7. Right to Object (Article 21 GDPR)

Individuals have the right to object, on grounds relating to his or her particular situation, at any time to processing of personal data which is based on certain specified provisions of the GDPR, including profiling based on those provisions.

8. Right Related to Automated Decision Making and Profiling (Article 22 GDPR)

The GDPR provides safeguards for individuals against the risk that a potentially damaging decision is taken without human intervention.

Individuals have the right not to be subject to a decision based solely on automated processing, including profiling, which produces legal effects concerning the individual or similarly significantly affects the individual. The GDPR provides certain exceptions and conditions to this right.

9. Right Related to Data Breach Notification (Article 34 GDPR)

The GDPR introduces a duty on controllers to report certain types of data breaches to the relevant supervisory authority, and in some cases to the individuals affected by the breach.

A personal data breach is a breach of security leading to the accidental or unlawful destruction, loss, alteration, unauthorized disclosure of, or access to, personal data transmitted, stored or otherwise processed. Where a breach is likely to result in a high risk to the rights and freedoms of natural persons, the controller is required to communicate the personal data breach to the data subjects without undue delay.

Addressing GDPR Data Subject Rights with *Research Professional

The following section describes the capabilities of *Research Professional that can assist customers in complying with the rights of data subjects.

Rights of Data Subjects – *Research Professional Users and Administrative Staff

Data Subject Right	Corresponding *Research Professional Functionality
Right to be Informed	Ex Libris provides comprehensive documentation regarding *Research Professional. Upon request, Ex Libris will provide you with additional relevant information you may need for addressing the Right to be Informed in relation to the processing of personal data by *Research Professional.
Right to Access	Personal Information about researchers with Fingerprints, *Research Professional users and Administrative Staff is stored in *Research Professional in the following location(s): • **Research Professional User Profiles.** A user's profile on *Research Professional contains the following personal information; name, email address, job title and departmental affiliation. Some of this information, such as name and email address, is visible to other users at the same subscribing institution through the 'People' tab. A *Research Professional user's name and institution will be displayed to subscribers outside of their institution if they choose to comment on funding opportunities or news articles. Users can edit their profiles, and access any data they contain, from the 'Manage my profile' page. More information on editing your profile can be found on our Help site. • ***Research Professional Fingerprint.** A *Research Professional user may have a *Research Professional Fingerprint associated with their account – a list of discipline terms matching their research interests, generated based on publicly available information. The Fingerprint consists of two parts: 1) The list of discipline terms, which can be accessed and amended from a user's email alerts page (https://www.researchprofessional.com/profile/alerts) 2) The data used to generate the Fingerprint, which will consist of the URL of the page the data was obtained from, and relevant information extracted

from that page. This can be obtained on request from privacy@researchresearch.com.

- ***Research Professional Administrator Reports and Functions.** Those with *Research Professional Administrative privileges, can view , create, and/or update profiles on behalf of researchers at their institution.
  Administrators can also export reports in .xlxs or PDF, containing basic user data, specifically; name, username, registered email address, department affiliation, Workgroup affiliation.

  Documentation: More details on how Administrators can interact with user profiles, as well as on the reports they can generate, can be found in *Research Professional's administrator guide.

  Research Professional Administrator Guide

- **User Account Data.** *Research Professional retains username and password information for *Research Professional Users and Administrators. Passwords are stored in an encrypted database and are not visible to Ex Libris staff.

  Users may change their usernames and passwords by choosing 'Edit profile' from the 'Manage my profile' screen in the *Research Professional interface.

  *Research Professional may retain identifying attributes released by your institution during Shibboleth Authentication.

Right to Rectification	*Research Professional Users can correct profile details (name, job title, faculty/department and emails addresses) directly from their 'Manage my profile page', accessible here: https://www.researchprofessional.com/profile Where a Fingerprint (a list of research discipline terms as described above) has been assigned to a user's account, a user can edit the discipline terms we've assigned to them from their 'Email alerts' page, accessible here; https://www.researchprofessional.com/profile/alerts Those with *Research Professional Administrative privileges, can also view, create, edit, and/or update personal information in profiles and Fingerprints on behalf of researchers at their institution. More information on this is available in our Administrator Guide. *See Documentation:* My profile Additional video tutorials for how to edit and update profiles can be found on the *Research Professional YouTube channel : https://www.youtube.com/playlist?list=PLmnfUmh8Ld8clDn3muBhbg9nd1Le3Q0Fz
Right to Erasure (Right to be Forgotten)	Individuals with *Research Professional Administrator privileges can delete the *Research Professional user profile of users at their institution. Full details on how an Administrator can delete a *Research Professional account can be found here: https://www.researchprofessional.com/0/rr/Help/Administrator.html Individuals with *Research Professional Administrator privileges are not able to directly delete a user's Fingerprint, but may submit a request to privacy@researchresearch.com for the Fingerprint to be deleted.

Right to Restrict Processing	If a restriction of processing short of full deletion is required, a *Research Professional account can be Archived. This will halt all email alerts associated with the account, and prevent the account holder from logging in to researchprofessional.com. An Archived account can be either restored or deleted at any time. Individuals with *Research Professional Administrator privileges have full rights to archive and restore the accounts of users at their institution. Details of this process can be found here: https://www.researchprofessional.com/0/rr/Help/Administrator.html
Right to Data Portability	*Research Professional Users may request a copy of their *Research Professional Fingerprint information by contacting the *Research Professional Client Services team (clientservices@researchresearch.com). A copy of a researcher's data will be made available in a combination of JSON and .xlxs.
Right to Object	If you wish to object to the processing of your personal data in connection to your *Research Professional account, you can find the contact details for your institution's *Research Professional Administrators in the 'Our Institution' section of researchprofessional.com. For more information on the 'Our Institution' section, how to access it and the information you can find there, please see our help pages: https://www.researchprofessional.com/0/rr/Help/Our-Institution.html As detailed in this document, your administrators have access to recourse such as deleting your account, updating any associated data or suspending the processing by Archiving your account. You can also contact *Research directly at privacy@researchresearch.com.
Right related to Automated Decision Making and Profiling	Any profiling or automated decision-making is determined and set by the customer. Generally, generated in *Research Professional are designed to be used by humans for decision making.

Right related to Data Breach Notification	Ex Libris has procedures for data breach handling including notification. In the case of a personal data breach, Ex Libris will, as soon as possible and within 72 hours after having become aware of it, notify the customer. The notification will : • Describe the nature of the personal data breach • Communicate the name and contact details of the data protection officer • Describe the likely consequences of the personal data breach • Describe the measures taken or proposed to be taken by Ex Libris When required by the GDPR, the institution/library as Data Controller, is responsible for notifying the Supervisory Authorities and the affected data subjects. Ex Libris Security Incident Response Policy is available in the Ex Libris Knowledge Center - here

Data Fields used in *Research Professional

The following are the data fields that contain information about the data subject.

Data Collection/Elements

Account Information for Users and Administrators	• Email Address • First Name, Last Name • Username • Password • Title • Job title • Faculty/Department • Personal email • Identifying Shibboleth attributes
Email Alert Settings	• Funding opportunity alert settings • News alert settings • *Research Fingerprint disciplines
Saved Searches and Bookmarks	• Saved funding searches • Saved news searches • Saved funding bookmarks • Saved news bookmarks
Community Elements	• Comments on news articles • Workgroup memberships