



What You Need to Know About Addressing GDPR Data Subject Rights in Pivot



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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) takes effect in the European Union (EU). It replaces 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 Pivot that can assist your organization in addressing data subject rights and requests as a *controller* under the GDPR of personal data processed in Pivot.

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 Pivot, 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 Pivot, 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 Pivot, Pivot 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 Pivot

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

Rights of Data Subjects – Researchers with scholarly profiles in Pivot, Pivot Users, and Administrative Staff

Data Subject Right	Corresponding Pivot Functionality
Right to be Informed	<p>Ex Libris provides comprehensive documentation regarding Pivot. 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 Pivot.</p>
Right to Access	<p>Personal Information about Researchers with profiles, Pivot Users and Administrative Staff is stored in Pivot in the following location(s):</p> <ul style="list-style-type: none"> <p>Researcher Profile Pages. A researcher’s personal information including name, email address, departmental affiliation, publications, awarded grants, and much more can be found and viewed on their individual Researcher Profile page(s) which can be accessed using the general search and discovery functionality of the Pivot user interface.</p> <p>Researcher profile information is visible to all users of Pivot, including those users outside of a researcher’s institution.</p> <p><i>Documentation:</i> More details about how to claim, view and manage Profiles can be found on the Ex Libris Knowledge Center: https://knowledge.exlibrisgroup.com/Pivot/Product_Documentation/Profiles</p> <p>Additional video tutorials for how to search for, navigate and update profiles can be found on the Pivot YouTube channel : https://www.youtube.com/user/ProQuestPivot</p> <p>Pivot Administrator Reports and Functions. Those with Pivot Administrative privileges, can view, claim, create, and/or update profiles on behalf of researchers at their institution. Administrators can also view and/or export a .csv format report of basic profile data</p>

consisting of name, user ID, email address and affiliation for any or all researchers at their institution.

Documentation: More details about how Administrators can claim, view and manage Profiles, as well as view and export reports including personal data can be found on the Ex Libris Knowledge Center:

[Pivot for Administrators](#)

Additional video tutorials covering administrator privileges and functionality can be found on the Pivot YouTube channel:

<https://www.youtube.com/user/ProQuestPivot>

- **User Account Data.** Pivot retains username and password information for Pivot Users and Administrators. In most case the Pivot username is the same as the User's email address. Passwords are stored in an encrypted database and are not visible to Ex Libris staff.

Users may change their users ID and passwords by following the "change account settings" menu of the Pivot user interface.

Right to Rectification

Pivot Users can correct, delete or hide **all** aspects of their own personal information in researcher profiles including name(s), email address, affiliation, and publication lists by using the "Edit Profile" functionality within Pivot.

Those with Pivot Administrative privileges, can also view, claim, create, edit, and/or update personal information in profiles on behalf of researchers at their institution.

See Documentation:

[Profiles](#)

[Pivot Admin: Creating and Updating Profiles on Behalf of Faculty and Researchers](#)

Additional video tutorials for how to edit and update profiles can be found on the Pivot YouTube channel :

<https://www.youtube.com/user/ProQuestPivot>

Right to Erasure (Right to be Forgotten)	<p>Should a Data Subject wish to object to the inclusion of their Personal Information in Pivot, the individual’s Pivot user account information and researcher profile information can be deleted upon request. When a Pivot User’s profile is deleted, the institution’s Pivot Administrator will also be notified that the profile has been deleted.</p> <p>See Managing my Personal Data in Pivot - Section “Deleting my Account and Researcher Profile information”</p>
Right to Restrict Processing	<p>Should a Data Subject wish to object to the processing of their personal data, the individual’s Pivot user record can be deleted.</p> <p>See Managing my Personal Data in Pivot - Section “Deleting my Account and Researcher Profile information”</p>
Right to Data Portability	<p>Pivot Users may request a copy of their Researcher Profile information by requesting a copy from the Pivot Support team. A copy of a researcher’s data will be made available in a machine readable (XML file) format.</p> <p>See Managing my Personal Data in Pivot - Section “Requesting a Copy of my Researcher Profile information”</p>
Right to Object	<p>Pivot provides individual researchers with the full ability to “object” to processing their data in Pivot. Institutional Administrators can also request that individual researchers to be excluded from the data loaded into Pivot. Pivot Users may also request that existing researcher profile and account information be deleted as described above.</p>
Right related to Automated Decision Making and Profiling	<p>Pivot does not perform any automated-decision making.</p>
Right related to Data Breach Notification	<p>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.</p> <p>The notification will:</p> <ul style="list-style-type: none"> • 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 Pivot

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

Data Collection/Elements

Account Information for Users and Administrators	<ul style="list-style-type: none">• Email Address• First Name, Last Name• Password
Preferences	<ul style="list-style-type: none">• Default search settings• Deadline notification preferences
Workflow State	<ul style="list-style-type: none">• Saved Searches• Tracked Opportunities• Groups
Scholarly Profile - biographical data	<ul style="list-style-type: none">• Name• Email Address• Organizational Affiliation• Role• Researcher IDs (ex. ORCID)• Keywords• Expertise statement• External Links• Education,• Languages• Associations• Honors• Photograph
Scholarly Profile - research works	<ul style="list-style-type: none">• Publication Citations• Awarded Grants• Patents