

I. RECORD OF PERSONAL DATA PROCESSING OPERATION (Article 31 of Regulation (EU) No. 2018/1725)

1.	Name of the processing operation	Management of Medical Files
2.	Reference number/Issue	ETF-DPR-36/Issue 1
3.	Date	18/12/2018
4.	Business owner	Nadège Perrine Head of HR Unit Nadège.Perrine@etf.europa.eu
5.	Controller	Cesare Onestini Director of the ETF Cesare.Onestini@etf.europa.eu
6.	Joint controller(s)	Not applicable
7.	Processor(s)	ETF Medical Advisor External contractor performing medical check-up
8.	Data protection officer	Tiziana Ciccarone / Laurens Rijken DataProtectionOfficer@etf.europa.eu
9.	Purpose of the processing	Collecting health data for ETF staff for preventive and occupational medical purposes
10.	Legal basis for the processing	Staff Regulations art. 26a on Medical file
11.	Categories of data subjects	All ETF Temporary, Contract and Local Agents
12.	Categories of personal data	Name, gender, date of birth Health data
13.	Time limits for keeping of data	30 years after termination of service
14.	Categories of ETF recipients of data	Nobody
15.	Categories of external recipients of data	<ul style="list-style-type: none"> The ETF Medical Advisor is the only person authorised to access data contained in the medical file. If an invalidity procedure is launched, the medical file will be made available to the Invalidity Committee. Personal data can be transferred to counterparts in other EU Institutions, only upon agreement of the data subject. The request of transfer must be done by the medical service of the recruiting institution and must be addressed to the ETF Medical Advisor. The ETF Medical Advisor will send the medical file of the staff member concerned in a sealed envelope, via courier and addressed to the medical service of the recruiting institution.
16.	Transfers of data to third country or international organisation	Not applicable
17.	Technical and organisational security measures	The medical file is accessible only to the data subject and the ETF Medical Advisor. Medical files are stored in a safe, which is located in the

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		ETF Medical Advisor's office. The keys of the safe are under strict surveillance of the guard of the ETF, for security and emergency reasons.
18.	Information to the data subject	Provided in privacy statement

II. COMPLIANCE CHECK AND RISK SCREENING OF PERSONAL DATA PROCESSING OPERATION (Article 26 and 39 of Regulation (EU) No. 2018/1725)

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A. Compliance check

19.	Lawfulness (Legal basis and necessity for processing, point 10) <ul style="list-style-type: none"> <input type="checkbox"/> Necessary for performance of tasks in the public interest attributed by EU or MS legislation <input checked="" type="checkbox"/> Necessary for the management and functioning of the organisation <input checked="" type="checkbox"/> Necessary for compliance with legal obligation incumbent on controller <input type="checkbox"/> Necessary for performance of a contract to which the data subject is party <input type="checkbox"/> The data subject has given consent <input type="checkbox"/> Necessary in order to protect the vital interests of the data subject or of another natural person 	
20.	Purpose definition (Point 9) <ul style="list-style-type: none"> • Do you list all purposes? • Are the purposes specified, explicit, legitimate? • Where information is also processed for other purposes, are you sure that these are not incompatible with the initial purpose(s)? 	<ul style="list-style-type: none"> • Yes • Yes • Not applicable
21.	Data minimisation (Point 12) <ul style="list-style-type: none"> • Do you really need all data items you plan to collect? • Are there any you could do without? 	<ul style="list-style-type: none"> • Yes • No
22.	Accuracy (Point 12) <ul style="list-style-type: none"> • How do you ensure that the information you process about people is accurate? • How do you rectify inaccurate information? 	Staff are welcome at any time to correct inaccurate information provided by meeting the ETF Medical Advisor
23.	Storage limitation (Point 13) <ul style="list-style-type: none"> • Explain why you chose the storage period(s) mentioned • Are they limited according to the maximum or minimum "as long as necessary, as short as possible"? • In case you only need some information for longer, can you split storage periods? 	<ul style="list-style-type: none"> • Data must be kept for 30 years after termination of service, which is the estimated time for some diseases to develop. • As short as possible • Not applicable
24.	Transparency (Point 18)	<ul style="list-style-type: none"> • Privacy statement is sent with the

COMPLIANCE CHECK AND RISK SCREENING - Management of Medical Files

	<ul style="list-style-type: none"> How do you tell people about your processing? If you do not want to inform people (or only inform them after the fact), consult your DPO 	<p>invitation for the pre-recruitment check-up and is always accessible in the ETF Medical Advisor's office. In addition, during the first induction session on staff rights HR inform new staff on the purpose of collection of personal data related to the creation and the management of medical files.</p> <ul style="list-style-type: none"> Not applicable
25.	<p>Data subjects rights (Point 18)</p> <ul style="list-style-type: none"> Can people contact you if they want to know what you have about them, want to correct or delete the data, have it blocked or oppose to the processing? Could there be situations where you would want to refuse e.g. granting access? In case so please describe them 	<ul style="list-style-type: none"> The data subject can ask HR to consult or have copies of the documents in his/her medical file. Requests of rectification or deletion must be addressed to the ETF Medical Advisor. Not applicable

B. Risk screening

26.	<p>Does the processing involve any of the following?</p> <ul style="list-style-type: none"> Data relating to health, (suspected) criminal offences or otherwise considered sensitive <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Evaluation, automated decision- making or profiling <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No Monitoring data subjects <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No New technologies that may be considered intrusive <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No Exclusion databases <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No Large-scale processing of special categories of personal data (disease surveillance, pharmacovigilance, central databases for law-enforcement cooperation) <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No Internet traffic analysis breaking encryption <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No Management of personal files <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No Staff evaluation procedures <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No Staff selection procedures <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No Establishment of rights upon entry into service <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No Access control systems <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No Video surveillance <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
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C. Conclusions

	Actor	Date	Signature
27.	<p>Business owner Nadège Perrine Head of HR Unit</p> <p>Conclusion Threshold assessment required according to Risk screening</p>		
	<p>Data Protection Officer: Tiziana Ciccarone / Laurens Rijken</p> <p>Conclusion I confirm that a threshold assessment is required</p>		

III. THRESHOLD ASSESSMENT OF PERSONAL DATA PROCESSING OPERATION (Article 26 and 39 of Regulation (EU) No. 2018/1725)

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A. Criteria for high risks identification

28.	Systematic and extensive evaluation of personal aspects or scoring, including profiling and predicting	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
29.	Automated- decision making with legal or similar significant effect: processing that aims at taking decisions on data subjects	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
30.	Systematic monitoring : processing used to observe, monitor or control data subjects, especially in publicly accessible spaces. This may cover video-surveillance but also other monitoring, e.g. of staff internet use.	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
31.	Sensitive data : data revealing ethnic or racial origin, political opinions, religious or philosophical beliefs, trade-union membership, genetic data, biometric data for identification purposes, data concerning health or sex life or sexual orientation, criminal convictions or offences and related security measures or otherwise considered sensitive.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
32.	Data processed on a large scale , whether based on number of people concerned and/or amount of data processed about each of them and/or permanence and/or geographical coverage	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
33.	Datasets matched or combined from different data processing operations performed for different purposes and/or by different data controllers in a way that would exceed the reasonable expectations of the data subject.	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
34.	Data concerning vulnerable data subjects : situations where an imbalance in the relationship between the position of the data subject and the controller can be identified.	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
35.	Innovative use or applying technological or organisational solutions that can involve novel forms of data collection and usage. Indeed, the personal and social consequences of the deployment of a new technology may be unknown	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No

36.	Preventing data subjects from exercising a right or using a service or a contract. <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No

B. Conclusion

	Actor	Date	Signature
37.	Business owner Nadège Perrine Head of HR Unit Conclusion No further action required Although this process requires the management of sensitive and vulnerable data, the risk is low because the management of these data is restricted to the ETF Medical Advisor bound by strict confidentiality rules and these data are safely stored.		
	Data Protection Officer: Tiziana Ciccarone / Laurens Rijken Conclusion I confirm that no further action is required		
	Data Controller Cesare Onestini, Director of the ETF		