# RECORD OF A PERSONAL DATA PROCESSING ACTIVITY

according to Article 31 of Regulation (EU) 2018/1725

<table>
<thead>
<tr>
<th>Title</th>
<th>Handling of external complaints</th>
</tr>
</thead>
</table>

1) Controller(s) of data processing activity (Article 31.1(a))

- EFSA unit in charge of the processing activity: Legal Affairs Services Unit (LA)
- EFSA Data Protection Officer (DPO): DataProtectionOfficer@efsa.europa.eu
- Is EFSA a co-controller? No

If yes, indicate who is EFSA’s co-controller:

2) Who is actually conducting the processing? (Article 31.1(a))

- The data is processed by EFSA itself X

Indicate the EFSA units or teams involved in the data processing:

- The LA Unit as controller of the external complaints handling at EFSA can be contacted writing to complaints@efsa.europa.eu

The processing operation is conducted together with an external party

Please provide below details on the external involvement:

3) Purpose of the processing (Article 31.1(b))

The handling process is laid down in a Standard Operating Procedure and detailed on the website (https://www.efsa.europa.eu/en/contact/complaint), which ensures that complaints are evaluated and replied timely and that internal and external stakeholders are informed.

4) Legal basis and lawfulness of the processing (Article 5(a)–(d)):

Processing necessary for:

(a) a task carried out in the public interest or in the exercise of official authority vested in EFSA X

(b) compliance with a legal obligation to which EFSA is subject

(c) performance of a contract with the data subject or to prepare such contract
5) Description of the categories of data subjects (Article 31.1(c))

**Whose personal data are processed?**

<table>
<thead>
<tr>
<th>Category</th>
<th>X</th>
</tr>
</thead>
<tbody>
<tr>
<td>EFSA statutory staff</td>
<td></td>
</tr>
<tr>
<td>Other individuals working for EFSA (consultants, trainees, interims, experts)</td>
<td></td>
</tr>
<tr>
<td>Stakeholders of EFSA, including Member State representatives</td>
<td></td>
</tr>
<tr>
<td>Contractors of EFSA providing goods and services</td>
<td></td>
</tr>
<tr>
<td>The general public, including visitors, correspondents, enquirers</td>
<td>X</td>
</tr>
<tr>
<td>Relatives of the data subject</td>
<td></td>
</tr>
<tr>
<td>Other categories of data subjects (please detail below)</td>
<td>X</td>
</tr>
</tbody>
</table>

**Further details concerning the data subjects whose data are processed:**

The data subjects concerned are the individuals lodging a complaint with EFSA or in case the complaint is lodged by an organisation or legal entity, its representatives as far as they are mentioned in the complaint itself.

6) Type of personal data processed (Article 31.1(c))

**a) General personal data**

The personal data concerns:

<table>
<thead>
<tr>
<th>Data Type</th>
<th>X</th>
</tr>
</thead>
<tbody>
<tr>
<td>Name, contact details and affiliation</td>
<td></td>
</tr>
<tr>
<td>Details on education, expertise, profession of the person</td>
<td>X</td>
</tr>
<tr>
<td>Curriculum vitae</td>
<td></td>
</tr>
<tr>
<td>Financial details</td>
<td></td>
</tr>
<tr>
<td>Family, lifestyle and social circumstances</td>
<td></td>
</tr>
<tr>
<td>Goods and services the person provides</td>
<td></td>
</tr>
<tr>
<td>Other personal data (please detail):</td>
<td>X</td>
</tr>
</tbody>
</table>

**b) Sensitive personal data** (Article 10)

The personal data reveals:
Racial or ethnic origin of the person  □
Political opinions or trade union membership  □
Religious or philosophical beliefs  □
Health data or genetic or biometric data  □
Information regarding the person’s sex life or sexual orientation  □

**Further details concerning the personal data processed:**
- Identification & contact data: the complainant’s title, first name, last name and contact details and – as applicable - his/her job title, affiliation with full address of the organisation, department, work email & phone number, business mobile phone.
- Any other personal included in the complaint sent by the complainant.

Data subjects have the possibility to request confidential treatment of their complaint or certain parts thereof by indicating such a requirement in the complaint and by providing supporting reasoning or justification.

### 7) Recipients of the data (Article 31.1(d))

<table>
<thead>
<tr>
<th>Recipients of the data (please specify):</th>
</tr>
</thead>
<tbody>
<tr>
<td>Line managers of the data subject  □</td>
</tr>
<tr>
<td>Designated EFSA staff members  □</td>
</tr>
<tr>
<td>Other recipients (please specify):  □</td>
</tr>
</tbody>
</table>

The complainant’s personal data is accessible only internally at EFSA, namely to:
- The Head of Unit and staff of the Legal Affairs Services Unit, in charge of the complaint handling process,
- EFSA staff in Units and teams concerned by the substance of the complaint,
- The Executive Director, signing the reply to the complaint,
- Staff in the Communication, Engagement & Cooperation Department (COMCO), in charge of media relations in case of sensitive complaints that may trigger reaction in the media and in copy to the reply to the complaint.

### 8) Transfers to recipients outside the EEA (Article 31.1 (e))

Data are transferred to third country recipients:
- Yes  □
- No  □

**If yes**, specify to which third country:

**If yes**, specify under which safeguards:
- Adequacy Decision of the European Commission  □
9) Technical and organisational security measures (Article 31.1(g))

**How is the data stored?**

- On EFSA’s Document Management System (DMS) [X]
- On a shared EFSA network drive or in an Outlook folder [X]
- In a paper file
- Using a cloud computing solution (please detail the service provider and main characteristics of the cloud solution, e.g. public, private)
- On servers of an external service provider
- On servers of the European Commission or of another EU Institution
- In another way (*please specify*):

**Please provide some general information on the security measures applied:**

Complaints are handled via EFSA Outlook email and stored on EFSA's Document Management System (DMS).

10) Retention period (Article 4.1 (e))

The retention period of the EFSA complaints case handling, including personal data contained in the complaints is 10 years after closure of the case.

11) Consultation with the Information Security Officer

Was the ISO consulted on the processing operation?

Yes [ ] No [X]

*If yes, please provide some details on the consultation with the ISO:*

12) Information given to data subjects (Articles 15 and 16)
Has information been provided to data subjects on the way their data is processed including how they can exercise their rights (access, rectification, objection, data portability)? Usually this information is provided in a Privacy Statement, specifying the controller’s contact details. As possible, please provide a link to the relevant Privacy Statement or a description.


Last update of this record: 04/08/2021

Reference: DPO/GOV/15