

Data protection statement¹ on the processing of personal data in the management of the Legal Affairs Archives

Protecting your privacy is of the utmost importance to the European Patent Office (EPO). We are committed to protecting your personal data and ensuring respect for data subjects' rights when performing our tasks and providing our services. All data of a personal nature that identify you directly or indirectly will be processed lawfully, fairly and with due care.

The processing operations described below are subject to the EPO Data Protection Rules ([DPR](#)).

The information in this statement is provided in accordance with Articles 16 and 17 DPR.

Principal Directorate 5.2 Legal Affairs (PD 5.2 or Legal Affairs) archives files with permanent institutional or legal value for PD52 operations. This encompasses paper as well electronic format documents.

This data protection statement relates to the archiving of personal data entailed in those documents and files. Archiving refers to the data kept after the elapsing of the retention period. For the storage of personal data until the elapsing of the retention period(s), please see the relevant record(s) of the processing operation(s).

1. What is the nature and purpose of the processing operation?

Historically, personal data were processed in a paper-based archive. Legal Affairs' staff are granted access by the archivist on a need-to-know basis. More recently, personal data are also processed in the electronic archive, which is made up of electronic files from the Legal Affairs case management system (CMS). Each directorate in PD 5.2 has its own section of the CMS, with access restricted to members of that directorate.

Personal data are processed for the archiving of documents of permanent historical, institutional, and/or legal relevance for Legal Affairs.

2. What personal data do we process?

Given the nature of the archiving activities to which this data protection statement relates, any category of data may be processed. This may in some cases include special categories of data such as health-related information.

3. Who is responsible for processing the data?

Personal data are processed under the responsibility of Principal Director 5.2 Legal Affairs.

Personal data are processed by the EPO staff consulting the archive or involved in the archiving activities of Legal Affairs.

External contractors involved in providing and maintaining a platform for the electronic archive may also process personal data, which can include accessing it, including Thomson Reuters.

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4. Who has access to your personal data and to whom are they disclosed?

Personal data are accessed by PD 5.2 staff consulting the archive and, mainly, by staff involved in the archiving activities. The paper archive is taken care of by an archivist. The electronic archive is taken care of separately in each directorate (access to each directorate's section of the CMS is restricted to the staff in that directorate).

Archived personal data may be disclosed to further staff in PD 5.2 Legal Affairs on a need-to-know basis. If necessary in the circumstances at stake, this information might also be shared outside of PD 5.2 Legal Affairs.

Personal data may be disclosed to third-party service providers for the provision and maintenance of a platform for the electronic archives, such as Thomson Reuters, as well as for paper archives' maintenance, such as IronMountain.

Personal data will only be shared with authorised persons responsible for the necessary processing operations. They will not be used for any other purposes or disclosed to any other recipients.

5. How do we protect and safeguard your personal data?

We take appropriate technical and organisational measures to safeguard and protect your personal data from accidental or unlawful destruction, loss or alteration and unauthorised disclosure or access.

All personal data are stored in secure IT applications in accordance with the EPO's security standards. Appropriate levels of access are granted individually only to the above-mentioned recipients.

For systems hosted on EPO premises, the following basic security measures generally apply:

- user authentication and access control (e.g. role-based access control to the systems and network, principles of need-to-know and least privilege)
- logical security hardening of systems, equipment and network
- physical protection: EPO access controls, additional access controls to datacentre, policies on locking offices
- transmission and input controls (e.g. audit logging, systems and network monitoring)
- security incident response: 24/7 monitoring for incidents, on-call security expert.

In principle, the EPO has adopted a paperless policy management system; however, if paper files containing personal data need to be stored on EPO premises, they are locked in a secure location with a restricted access.

For personal data processed on systems not hosted on EPO premises, the EPO has carried out a privacy and security risk assessment. The providers processing the personal data have committed in a binding agreement to comply with their data protection obligations under the applicable data protection legal frameworks. The EPO has also carried out a privacy and security risk assessment.

These systems are required to have implemented appropriate technical and organisational measures such as:

- physical security measures, access and storage control measures, securing data at rest (e.g. by encryption);
- user, transmission and input control measures (e.g. network firewalls, network intrusion detection system (IDS), network intrusion protection system (IPS), audit logging);
- conveyance control measures (e.g. securing data in transit by encryption)

6. How can you access, rectify and receive your data, request that your data be erased, or restrict/object to processing? Can your rights be restricted?

As a data subject, you have the right to access, rectify and receive your personal data, not to be subject to a decision based solely on automated processing, to have your data erased and to restrict and/or object to the processing of your data (Articles 18 to 24 DPR).

If you would like to exercise any of these rights, please write to the delegated data controller at DPOexternalusers@epo.org, who is the point of contact for external data subjects. EPO employees can contact PDLegalAffairs-DPL@epo.org. In order to enable us to respond more promptly and precisely, you always need to provide certain preliminary information with your request. We therefore encourage you to fill in this [form](#) (for externals) or this [form](#) (for internals) and submit it with your request.

We will reply to your request without undue delay and in any event within one month of receipt of the request. Article 15(2) DPR provides that this period may be extended by a further two months if necessary in view of the complexity and number of requests received. We will inform you of any such delay.

The right to rectification only applies to inaccurate or incomplete factual data processed as part of the EPO's tasks, duties and activities. It does not apply to subjective statements, including those made by third parties. Information may be deleted from the copy of personal data provided to the data subject where the EPO considers this necessary to protect the confidentiality of internal deliberations and decision-making.

7. What is the legal basis for processing your data?

Personal data are processed on the basis of Article 5(a) DPR: Processing is necessary for the performance of a task carried out in the exercise of the official activities of the European Patent Organisation or in the legitimate exercise of the official authority vested in the controller, which includes the processing necessary for Office's management and functioning.

8. How long do we keep your data?

Personal data will be kept only for the time needed to achieve the purposes for which it is processed.

All processing operations under the responsibility of the delegated controller are described in the relevant data protection statements, which state the applicable retention periods. This archive data protection statement describes the way in which the personal data are kept/archived, should they not be destroyed at the end of the applicable retention period.

Further safeguards will be implemented as soon as technically possible, complying with the requirements laid out in Article 14 DPR.

9. Contact information

External data subjects who have any questions about the processing of their personal data can contact the delegated controller via the Data Protection officer at DPOexternalusers@epo.org. EPO employees can contact directly the delegated data controller at PDLegalAffairs-DPL@epo.org. They may also contact the data protection officer at dpo@epo.org.

10. Review and legal redress

If you believe that the processing infringes your rights as a data subject, you have the right to request review by the controller under Article 49 DPR and, if you disagree with the outcome of the review, the right to seek legal redress under Article 50 DPR.