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5 **Title: Rules for processing genetic data for research purposes in view of the new EU**
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23 **Abstract**

24 Genetic data contain sensitive health and non-health related information about the individuals
25 and their family members. Therefore, adopting adequate privacy safeguards is paramount when
26 processing genetic data for research or clinical purposes. One of the major legal instruments for
27 personal data protection in the EU is the new General Data Protection Regulation (GDPR),
28 which has entered into force in May 2016 and repealed the Directive 95/46/EC, with an ultimate
29 goal of enhancing effectiveness and harmonization of personal data protection in the EU. This
30 paper explores the major provisions of the new Regulation with regard to processing genetic
31 data, and assesses the influence of such provisions on reinforcing the legal safeguards when
32 sharing genetic data for research purposes. The new Regulation attempts to elucidate the scope
33 of personal data, by recognizing pseudonymized data as personal (identifiable) data, and
34 including genetic data in the catalogue of special categories of data (sensitive data). Moreover,
35 a set of new rules is laid out in the Regulation for processing personal data under the scientific
36 research exemption. For instance, further use of genetic data for scientific research purposes,
37 without obtaining additional consent will be allowed, if the specific conditions are met. The
38 new Regulation has already fueled concerns among various stakeholders, owing to the
39 challenges that may emerge when implementing the Regulation across the countries. Notably,
40 the provided definition for pseudonymized data has been criticized, because it leaves too much
41 room for interpretations, and it might undermine the harmonization of the data protection across
42 the countries.

43 Key words: genetics, genomics, research, data protection, privacy

44

45 **Background**

46 Recent advancements in genomics and bioinformatics have led to vast amounts of genomic data
47 being generated in clinical and research settings. In order to obtain a better understanding of
48 this data and identify potential correlations between diseases and underlying genetic factors,
49 sharing genomic data in research and clinical settings is deemed necessary^{1 2}. In the view of
50 increasing data sharing practices, the importance of adopting adequate legal protection for data
51 subjects when using individual-level genomic data has been stressed. Sharing identifiable
52 genomic data is a form of processing personal data, and as such would fall within the scope of
53 data protection laws.³

54 Genetic data contain unique information about the data subjects and their blood relatives,
55 highlighting the significance of adopting adequate privacy protection measures when
56 processing genomic data^{4 5}. Adopting adequate privacy protections for genomic data has been
57 endorsed by the establishment of the International Declaration on Human Genetic Data, which
58 was issued on October 16, 2003 by UNESCO as complementary to its Universal Declaration
59 on Human Genome and Human Rights from November 11, 1997.

60 In the light of international human rights regimes which endorse privacy rights in general and
61 genomic privacy rights in particular, laws and regulations at the EU level have been established
62 in order to provide enforceable legal instruments in protecting the privacy of individuals. In the
63 European Union, protection of personal data has been pursued by establishing the Directive

64 95/46/EC of the European Parliament and of the Council on the protection of individuals with
65 regard to the processing of personal data and on the free movement of such data (hereafter the
66 “Directive”). The Directive was established in order to ensure the lawful and fair processing of
67 personal data via information technology. The Directive is only meant to apply to “personal
68 data” and is meant to exclude data that is not “directly or indirectly” identifiable or that is
69 considered to be anonymous. The Directive stipulates that the processing of personal data
70 should not be incompatible with the original purposes of data collection and that the data should
71 only be kept for as long as is necessary to achieve those purposes.

72 In 2009 the European Commission embarked on mission to reform the Directive. The ultimate
73 goal of the reform was to make the Directive more effective with regard to the advancements
74 in information communication technologies which have remarkably transformed collection,
75 storage and transfer of high volumes of data across borders. In addition, the Directive could not
76 introduce harmony and consistency in the data protection realm in the EU, as it was transformed
77 into national laws and this resulted in 27 different, national, versions of the Directive. Therefore,
78 the replacement of the Directive by a new Regulation, which is directly enforceable in all
79 member states has been pursued. In January 2012 the European Commission released a
80 “Proposal for a regulation of the European Parliament and of the Council on the protection of
81 individuals with regard to the processing of personal data and on the free movement of such
82 data”. There were later amendments to the Proposal voted on by the European Parliament on
83 12 March 2014. After this, the Council agreed to a common approach on a revised text of the
84 Proposal on 15 June 2015 and a period of trialogue between the three EU bodies (Commission,
85 Parliament, and Council) started. After negotiations between the three EU bodies, on 15
86 December 2015 the European Parliament, the Council and the Commission reached an
87 agreement on the new data protection rules. The EU General Data Protection Regulation
88 (hereafter the “Regulation”) has been introduced with the ultimate goals of harmonizing data

89 protection across the EU, and facilitating the flow of information across borders and enhancing
90 privacy protection. On 4 May 2016, the official text of the Regulation was published in the EU
91 Official Journal in all the official languages. While the Regulation entered into force on 24 May
92 2016, it shall apply from 25 May 2018.

93 In this paper, we will analyze impact of four elements within GDPR on the processing of
94 genomic data for research purposes. These elements include: the definition and scope of
95 personal data; recognition of genetic data within the special categories of personal data;
96 processing personal data under the research exemption; and, conditions and safeguards for
97 processing data under research exemptions. To this purpose, we will critically review the
98 pertinent provisions on the GDPR in contrast to the relevant provisions of the Directive. Our
99 discussions will benefit from the arguments provided by the exiting commentaries, and position
100 statements of research organizations and professional bodies.

101 **Definition and Scope of Personal Data**

102 The concept of “personal data” is a key concept in the framework of the Regulation. Once data
103 has been recognized as personal data under the Regulation, processing of the data should be
104 pursuant to the main principles laid out in Article 6. Previously, the definition provided by the
105 Directive has been criticized due to a lack of clarifications regarding the scope of personal data
106 in a number of aspects, including a distinction between anonymized vs. anonymous data ⁶ and
107 the status of key-coded or pseudonymized data.

108 In the definition provided by GDPR, the core elements of the definition from the Directive have
109 been maintained, mainly defining personal data as ‘any information relating to an identified or
110 identifiable natural person (“data subject”)’. However, in the catalogue of identifiers, the
111 definition provided by the Regulation includes “genetic” (Article 4.1) which was not included

112 in the Directive’s definition of personal data. Although “genetic” has been generally included
113 as an example of identifier factors, one can consider that this will only apply to identifying
114 genetic factors ⁷.

115 Furthermore, the Regulation does not distinguish between *anonymized* and *anonymous* data,
116 when explaining the scope of the personal data in Recital 26. Previously, a distinction between
117 anonymous data (data that never were identifiable) and *anonymized* data (data that were
118 rendered anonymous) has been proposed in the literature. Beyleveld argues that rendering
119 personal data anonymous should indeed be considered as “processing” data. Therefore, such
120 data should fall within the scope of data protection regulation and the act of anonymization
121 should be considered “processing” for the purpose of data protection regulations ⁸. This
122 approach resonates with the advice from the Article 29 Data Protection Working Party
123 (hereafter the “Working Party”) ^a, which states ‘Anonymization constitutes a further processing
124 of personal data; as such, it must satisfy the requirement of compatibility by having regard to
125 the legal grounds and circumstances of the further processing’. The GDPR therefore excludes
126 processing data for statistical or research purposes from the scope of data protection, if the data
127 are rendered anonymized. Important implication of this provision will be that individuals will
128 not be entitled to data protection rights, if their data are collected in identifiable manner but
129 later rendered anonymized. One example is when data are collected in a clinical setting in an
130 identifiable manner, and anonymized later on to be used for various purposes either by private
131 or public parties. Although anonymized data are considered non-personal for the purpose of

^a The Article 29 Data Protection Working Party, which has been set up under this Directive, is a group that regularly issues statements on matters relevant to the Directive and has been highly influential in providing interpretations for the Directive’s provisions. The Working Party is composed of representatives from the Member States’ Data Protection Authorities, the EU Commission and the EU Data Protection Supervisor, which is an independent authority.

132 GDPR, still individuals may be concerned that how the data extracted from them will be used
133 and for which purposes.

134 *Pseudonymization*

135 For the first time, the Regulation defined the concept of pseudonymization. According to
136 Article 4(5), '*Pseudonymization*' means the processing of personal data in such a manner that
137 the personal data can no longer be attributed to a specific data subject without the use of
138 additional information, provided that such additional information is kept separately and is
139 subject to technical and organizational measures to ensure that the personal data are not
140 attributed to an identified or identifiable natural person'. Considering the existing
141 controversies around the status of pseudonymized data for the purpose of data protection
142 regulation, and the diversity in approaches towards pseudonymization,⁹ the efforts made in the
143 new Regulation to delineate the concept are particularly important for data sharing practices
144 important.

145 In Recital 26, the Regulation asserts that pseudonymized data should be considered personal
146 data if it could be attributed to a natural person by the use of additional information. Moreover,
147 in the assessment of the identifiability of the data "all the means reasonably likely to be used,
148 such as singling out, either by the controller or by another person" should be taken into
149 consideration. This will open the door for varying interpretations on what would constitute the
150 "all the means reasonably likely to be used", and how the criteria for identifiability should be
151 determined. It is conceivable that the pseudonymization of data, if accompanied by appropriate
152 measures that make re-identification unlikely, render data anonymized or result in adopting
153 lighter regulatory provisions in comparison to identifiable data¹⁰. This approach resonates with
154 the Article 29 Working Party opinion on the concept of personal data: '...using a pseudonym
155 means that it is possible to backtrack to the individual, so that the individual's identity can be

156 discovered, but then only under predefined circumstances. In that case, although data protection
157 rules apply, the risks at stake for the individuals with regard to the processing of such indirectly
158 identifiable information will most often be low, so that the application of these rules will
159 justifiably be more flexible than if information on directly identifiable individuals were
160 processed'¹¹.

161 Recognizing pseudonymized data in the Regulation as personal data will affect the practices of
162 those research studies that are currently considering pseudonymized data as non-personal data.
163 One example is epidemiological research, which extensively use key-coded or pseudonymized
164 data, and depending on the applicable national laws, currently consider pseudonymized data as
165 non-identifiable. As Van Veen points out: 'As pseudonymized or key-coded data are the
166 working vessel of registry-based research, this new definition of personal data could have very
167 negative consequences for research. It would mean that one would have to fall back on the
168 research exception in many more cases than at present, with all the bureaucracy which might
169 be attached to the permission for use of the exception'¹². This is expected to be a significant
170 change in Member States such as the Netherlands, where pseudonymized data, under certain
171 conditions, has been considered to fall outside the scope of the definition of personal data ¹³.
172 Similarly, as Rumbold and Pierscionek point out, "The United Kingdom Information
173 Commissioner's Office currently treats pseudonymized data as anonymous where it is used by
174 a third party who does not possess the requisite key code."¹⁴ Indeed, the lack of clear provisions
175 in the Directive towards pseudonymized data allowed for broad interpretations in Member
176 States' laws of the scope of such definitions. In addition, the existing heterogeneity in
177 pseudonymization methods used across Member States could be seen as a potential challenge
178 in implementing the pertinent provisions concerning pseudonymization and hinder cross-border
179 genomic data sharing . ¹³

180 **Recognition of Genetic Data within the Special Categories of Personal data**

181 Regulation has marked certain categories of personal data as sensitive, and this entails higher
182 protection and stricter requirements for the processing of such data. According to Recital 51:
183 *‘Personal data which are, by their nature, particularly sensitive in relation to fundamental*
184 *rights and freedoms merit specific protection as the context of their processing could create*
185 *significant risks to the fundamental rights and freedoms.’*

186 Recognizing special categories of data by the Regulation was not unprecedented, as the
187 Directive has adopted a similar approach on this matter. Article 8 of the Directive contained a
188 general prohibition on processing personal data which reveals racial or ethnic origin, political
189 opinions, religious or philosophical beliefs, trade-union membership, and the processing of data
190 concerning health or sex life. As is further explained by Working Party in the Advice paper on
191 Special Categories of Data (sensitive data), the definition included not only data which by its
192 nature contains sensitive information, but also data from which sensitive information with
193 regard to an individual could be concluded.

194 GDPR, in contrast, explicitly recognizes the sensitive nature of genetic data collected in a
195 variety of settings. In Article 9, an adjusted definition of special categories of personal data has
196 been provided which includes genetic data and biometric data, among others. Inclusion of
197 genetic data in the catalogue of sensitive data is in line with the opinion of majority of Working
198 Party members. At the national level, some Member States included genetic data and biometric
199 data in their catalogue of special categories of personal data ¹⁵. Establishing stricter
200 requirements for processing genetic data seems appropriate, in the view of the heightened
201 concerns regarding potential misuses of genetic data, which could result from increased
202 availability of genetic data.

203 In addition, Article 4(13) provides a definition for genetic data and in Recital 34 further explains
204 that, “analysis of biological sample” includes in particular chromosomal, deoxyribonucleic acid

205 (DNA) or ribonucleic acid (RNA) analysis, or the analysis of other elements which enables
206 equivalent information to be obtained. This definition implies that not only genetic information
207 that drive from DNA materials, but also genetic information that could result from analysis of
208 other materials such as molecular and biological materials will be recognized as genetic data
209 for the purpose of GDPR. The questions remain about the status of other types of genetic
210 information that may not result from analysis of biological materials, but other sources such as
211 “genealogical information gathered through various questionnaires”¹⁶.

212 A point to consider is how to distinguish genetic data from the biological material from which
213 they are derived. Such clarification is particularly important for biobanks and those researchers
214 who aim for sharing biological samples which potentially contain genetic information. The
215 Regulation and Articles delineating the scope of the Regulation do not discuss this point. In the
216 absence of clear provisions in the Regulation concerning biological samples, one way to achieve
217 clarity is to look to interpretations. One approach is since the ultimate intention of the
218 Regulation is to protect personal data, a broad interpretation should be applied which could
219 allow for the inclusion of all sources, including biological samples that contain genetic data.
220 However, given the definition provided for genetic data in the Regulation which explicitly states
221 “data” (not samples), it will be hard to maintain such a broad interpretation¹⁷.

222 **Processing Personal Data and Special Categories of Data under the Research Exemption**

223 Processing sensitive data under specific conditions has been addressed in Article 8 of the
224 Directive. Accordingly, sensitive personal data could be processed if the explicit consent of the
225 data subject has been obtained. Otherwise, the processing of sensitive data could be carried out
226 “for reasons of substantial public interest”, if “suitable safeguards” were in place. Although
227 research has not been explicitly included as a reason for processing sensitive data in Article 8,

228 recital 34 of the Directive mentions scientific research as a potential example of “reasons of
229 substantial public interest” that could be utilized by the Member States when implementing the
230 Directive.

231 In practice, processing sensitive data under the exception of “public interest” has been done
232 under strict conditions, which were set by the Member States. However, fulfilling such
233 conditions appeared burdensome, thus rendered the processing under “public interest”
234 exception less favorable. As Paul Quinn notes: ‘Whilst the public interest option in Directive
235 95/46/EC allows states to legislate for the possibility of using personal health data for scientific
236 research without consent, the conditionality that is required means that such options cannot be
237 considered as ‘constraint free’. Imagine for instance conditionality that requires an extremely
238 high level of pseudonymization. Another requirement may (depending upon the jurisdiction in
239 question) require that approval is sought and obtained from a national, regional or
240 organizational ethics body’¹⁸.

241 Adopting a new approach towards processing personal data for research purposes was one of
242 the most controversial topics in the course of making the new Regulation. While the
243 Commission’s proposal was similar to the Directive’s approach for processing personal data,
244 the later amendments voted on by the European Parliament on 12 March 2014 laid out
245 considerably stricter conditions for such processing. According to the amended version of the
246 Parliament, in the absence of consent from data subjects, processing of data concerning health
247 for research purposes should only be allowed if it serves a ‘high public interest’ and if ‘that
248 research cannot possibly be carried out otherwise’ (Article 81(2a)). The proposed amendments
249 on the Commission’s draft by the Parliament fueled massive concerns among the biomedical
250 and health research community, who saw the proposed requirements as a barrier to research ¹⁹⁻
251 ²¹. The pertinent provisions, and especially Articles 81 and 83 concerning the use of health data
252 including genetic data for research purposes, were extensively discussed by the European

253 Council afterwards. Ultimately, the final text of the Regulation adopted a more research-
254 friendly approach. According to the new Regulation, a “research exemption” has been
255 recognized under a number of Articles.

256 First, while processing special categories of data has been generally prohibited, Article 9.2(j)
257 of the Regulation permits processing of special categories of personal data when it is necessary
258 for *archiving purposes in the public interest, scientific or historical research purposes or*
259 *statistical purposes* in accordance with article 89(1). This could occur without the explicit
260 consent of the data subject having been obtained as long as this is permitted under EU or
261 Member State law and appropriate safeguards are in place. It should be noted that the GDPR
262 recognizes the challenges of obtaining specific consent for research purposes at the time of data
263 collection, therefore provides that data subjects should be allowed to give consent to certain
264 areas of scientific research (Recital 33). The Regulation states that ‘Member States may
265 maintain or introduce further conditions, including limitations, with regard to the processing of
266 genetic data, biometric data or data concerning health’ (Article 9.4). Member States, therefore,
267 could aim for stronger protections for genetic data by requiring stricter conditions for
268 processing genetic data for research purposes. However, maintaining varying requirements by
269 Member States will undermine a goal of harmonization of legal framework for processing
270 genetic data within the EU. This is particularly challenging given the importance of
271 collaborative genetic research, which entails cross-border processing of genetic data. On a
272 similar note, in Recital 53, the Regulation warns Member States that they should not use this
273 discretion in a way that “hamper the free flow of personal data within the Union when those
274 conditions apply to cross-border processing of such data.”

275 Second, the research exemption could provide a legal basis for the secondary processing of
276 personal data, something that could also be provided by the “further processing” provisions.
277 Accordingly, Recital 50 indicates that further processing for archiving purposes in the public

278 interest, for scientific and historical research purposes or for statistical purposes should be
279 considered to be compatible processing. This means that retrospective use of genetic databases
280 will be allowed, thus optimize the use of already collected data for future research purposes.
281 However, where further processing of personal data is desired, the principles of transparency
282 and fairness should be respected. In particular, the data subjects should receive the relevant
283 information regarding that further processing in advance (Article 13(3)). Therefore, researchers
284 who obtained the data from the data subjects and aim for further processing of data for scientific
285 research purposes, should ensure that the data subjects receive the relevant information prior to
286 further processing. Such requirement shall not apply “where the provision of information to the
287 data subject proves to be impossible or would involve a disproportionate effort.” (Recital 62)

288 Third, Article 6 lays out the grounds for the lawful processing of personal data without consent,
289 including but not limited to the condition when “processing is necessary for the purposes of the
290 legitimate interest”. A similar approach has been adopted in the conditions set for transferring
291 personal data to third countries under Article 49(1), where that transfer can be carried out in the
292 absence of consent when ‘necessary for the purposes of compelling legitimate interests pursued
293 by the controller which are not overridden by the interests or rights and freedoms of the data
294 subject.’

295 Although processing for research purposes is not explicitly listed under “legitimate interests”,
296 the further explanation provided by Recital 47 and Recital 113 could potentially provide
297 sufficient grounds to process personal data for research purposes. This interpretation resonates
298 with the opinion of the Article 29 Working Party on the notion of Legitimate Interest, where
299 this opinion includes scientific research as a legitimate interest (subject to appropriate
300 safeguards)²².

301 Concerning the definition of scientific research, it is worth noting that the Regulation favors a
302 broad interpretation, which will effectively broaden the scope of national laws²³. According to
303 Recital 159, ‘the processing of personal data for scientific research purposes should be
304 interpreted in a broad manner including for example technological development and
305 demonstration, fundamental research, applied research and privately funded research.’
306 Therefore, both private and publicly funded research could benefit from the research exemption
307 provisions under the Regulation. However, concerns regarding potential misuse of research
308 exemption by commercial actors has led some such as Biobanking and BioMolecular resources
309 Research Infrastructure – European Research Infrastructure Consortium (BBMRI-ERIC)’s to
310 argue in favour of specifying research exemption to scientific research seeking public interest
311²⁴. Since the contribution of both public and private entities in advancement of biomedical
312 research is essential, the GDPR’s approach in inclusion of both private and publicly funded
313 research may be seen beneficial as far as the research’s objectives align with the public interests
314 and the procedure of data processing is transparent.

315 **Conditions and Safeguards for Processing Data under the Research Exemption**

316 Derogations from data subjects’ rights have been introduced when processing data for scientific
317 research purposes. Article 89(2) of the new Regulation allows Member States to provide for
318 derogations from the rights referred to in Articles 15 (right of access), 16 (right to rectification),
319 18 (right to restriction of processing) and 21 (right to object). Recital 156 however provides a
320 longer list of derogations that could be made by Member States, including ‘*derogations with*
321 *regard to the information requirements and rights to rectification, to erasure, to be forgotten,*
322 *to restriction of processing, to data portability, and to object when processing personal data*
323 *for archiving purposes in the public interest, scientific or historical research purposes or*
324 *statistical purposes.*’

325 Article 89(1) outlines some conditions for processing personal data under the research
326 exemptions. Accordingly, processing of personal data for scientific research purposes, among
327 others, shall be subject to appropriate safeguards. However, it has been primarily left to the
328 Member States to define the term “safeguards”. Similarly, in the framework of the Directive
329 the term “safeguards” was mentioned on several occasions, however a clear definition of the
330 nature of such safeguards was not provided. In response, the Working Party stressed the
331 importance of further delineating the definition of safeguards, and illustrating it with examples:
332 ‘Organizational and technical safeguards could for example include measures such as the
333 introduction of Information Security Managements Systems (e.g. ISO/IEC standards) based on
334 the analysis of information resources and underlying threats, measures for cryptographic
335 protection during storage and transfer of sensitive data, requirements for authentication and
336 authorization, physical and logical access to data, access logging and others.’

337 Article 89(1), mentions “pseudonymization” as a measure that can be taken in order to ensure
338 respect for the principle of data minimization. Given that the use of identifiable data is important
339 at times such as for epidemiological research^{25 21}, pseudonymization can be a restricting factor
340 for use of genetic data under research exemption. Importantly, when there are other safeguards
341 in place, then it should be possible to use identifiable data for research purposes, without
342 consent. These safeguards could include governance mechanisms such as obtaining approval
343 from ethics committees or data access committees, who are tasked with making an assessment
344 of research proposals. Such oversight shall take into account considerations of the potential
345 risks for data subjects prior to researchers being granted access to their data, and to ensure the
346 benefits of the research outweigh the associated risks.

347 Regardless, in order to reduce the risks of re-identification, particularly in processing genomic
348 data, adopting controlled access models has been widely suggested. Controlled-access or
349 managed-access models would allow maintaining a level of control on downstream uses of the

350 research databases, through conducting access review by specialized access committees that
351 oversee the incoming data access requests and assess them for the purpose of approval or
352 disapproval ²⁶. Furthermore, the access committees could vet the data users and only grant
353 access to *bonafide* researchers. As Ohm puts it: ‘Researchers should be allowed to release full,
354 unscrubbed databases to verifiably trusted third parties, subject to new controls on use and new
355 penalties for abuse’ ²⁷.

356 Other alternative models include archiving and processing data in safe havens, encryption and
357 key management, and technical and organizational security measures. It is worth noting that the
358 dynamic nature of the field and advancements in bioinformatics call for regular updates to
359 ensure adequate safeguards ²⁸.

360 **Concluding Remarks**

361 The Regulation took a similar approach regarding the scope of personal data. However, for the
362 first time, GDPR elucidated the term “pseudonymization” and provided a definition. The
363 Regulation asserts that pseudonymized data is considered identifiable and will fall within the
364 scope of the personal data. Moreover, pseudonymization has been introduced as an example of
365 measures that could be used by data processors when processing sensitive data, such as genetic
366 data, on the basis of the research exemption provision. Although the clarification about
367 pseudonymization is important, some uncertainties still remain regarding the impact of the
368 pertinent provisions on current practices, for instance, in relation to adequate minimum
369 standards of pseudonymization. Moreover, it remains to be seen how this would change
370 governance mechanisms concerning sharing de-identified genomic data, such as the consent
371 and the oversight mechanisms.

372 The new Regulation has recognized the research exemption for processing personal data on a
373 number of occasions, therefore presented a research-friendly approach. Accordingly, in the

374 absence of consent, personal data, including sensitive data, could be further processed for
375 scientific research purposes and under the conditions set out in Article 89. Considering the
376 increasing attention being directed towards data sharing for scientific research purposes, the
377 rules set forth by the Regulation regarding the research exemption are of paramount importance.

378 The provisions set forth for processing personal data under the research exemption could
379 supplement the existing binary approach towards data protection, namely consent or
380 anonymization.²⁹ Notably, such a binary approach does not respond to the demands of
381 biomedical research, which needs high volumes of data in a fast and easily accessible manner.
382 According to the Regulation, using data for research purposes and sharing it for downstream
383 uses requires adopting further organizational safeguards which go beyond the consent or
384 anonymization approaches. Nevertheless, the Regulation does not elaborate further on such
385 safeguards, leaving it primarily to the Member States to adopt adequate safeguards and
386 conditions for processing data under the research exemption.

387 In light of the identified ethical and legal concerns associated with using genetic data for
388 research purposes, we stress the importance of safeguards which could provide a level of control
389 on further processing of data for research purposes in an on-going manner. This will establish
390 additional controls which limit data access to authorized users. A similar approach has been
391 adopted in a recent report on the *Collection, linking and use of data in biomedical research and*
392 *health care* by Nuffield Council on Bioethics, which notes, ‘Because of the risk of misuse and
393 consequential privacy infringement, de-identification and consent measures may be
394 supplemented by further governance arrangements’³⁰. Competent oversight bodies such as
395 ethics committees and data access committees are in the best place to hold control over the
396 access and use of data. By establishing adequate oversight mechanisms from the outset in the
397 process of personal data processing, the ultimate goal of the new Regulation in terms of

398 “privacy by design” will be facilitated, in which data protection safeguards will be built into
399 the products and services from the earliest stage of development.

400 However, it is important to ensure the existing and emerging oversight bodies are equipped
401 with adequate expertise regarding using and sharing genomic data and are aware of the
402 associated informational risks. In order to achieve this, soliciting the attitudes of the involved
403 parties regarding the associated risks would be necessary. Thereby, the overall governance of
404 personal data processing will go beyond legal requirements, and will take into account the
405 pertinent individual or social concerns that may not be explicitly outlined in the legal
406 provisions. In addition, the oversight of personal data processing should keep pace with recent
407 developments in the field of data science, bioinformatics and genetics, among others. The risks
408 associated with emerging technologies and the safeguards in protecting the privacy of data
409 subjects should be treated as moving targets. Otherwise, the safeguards will become obsolete
410 and unable to safeguard data subjects in an adequate fashion.

411 Finally, increasing cross-border data sharing underlines the importance of the harmonization of
412 legal frameworks concerning personal data protection. One of the main goals of the Regulation
413 has been to achieve this by harmonizing the personal data protection landscape across EU.
414 However, concerns remain regarding the real impact of the Regulation on unifying the
415 individual, national regulations towards processing genetic data for research purposes, across
416 Member States. Arguably, the Regulation still leaves room for varying interpretations, for
417 instance, concerning the safeguards that should be established and also in setting further
418 conditions for processing genetic data on the basis of the research exemption provisions. In a
419 position statement, BBMRI-ERIC stressed the significance of ensuring that “Member State-
420 specific derogations are not invoked to block, delay or otherwise unduly frustrate cross-border
421 data exchange for research purposes”. In addition, negotiating sector-specific codes of conducts
422 by professional bodies is suggested as a way to reach harmonization across EU ²⁴. Further

423 research could explore how Member States will adjust their national laws in the coming two
424 years in preparation for enforcing the Regulation in 2018.

425 **Main Points**

- 426 ~~• Recognizing pseudonymized data as personal data by GDPR introduces clarifications~~
427 to the status of pseudonymized data. Still, the provided definition leaves room for
428 further interpretations on what are the sufficient methods of pseudonymization and
429 when data are fully considered non-identifiable.
- 430 • Allowing Member States' to set further limitations on processing genetic data for
431 research purposes may hamper cross-border processing of genetic data and undermine
432 harmonization of data protection within the EU, if those limitations and conditions vary.
 - 433 • GDPR emphasized pseudonymization as a safeguard when processing data under
434 research exemption. Other safeguards, such as organizational measures and oversight
435 by competent bodies should be further utilized as they may better suit to the purpose of
436 governance of research at times.

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