

## DPO-978.1 - RTD : FP6/7 IT System (core functionality)

### General information

Creation : 06/02/2006

Last updated : 26/04/2006

Registration : 26/04/2006

Status : Archived

Deleted : No

DG.Unit : RTD.R.4

Controller : SMITS Robert-Jan

Delegate :

DPC : BOURGEOIS Thierry, PENEVA Pavlina

Keywords :

Corporate : No

Language : English

Model : No

EDPS opinion (prior check) : No

Target Population :

DPC Notes : -- Confidential --

### Processing

#### 1 . Name of the processing

FP6/7 IT System (core functionality)

#### 2 . Description

Processing of the information needed to manage FP6 and FP7 proposals and projects in accordance with the appropriate regulations throughout their whole lifecycle, including:

- Submission and evaluation of proposals (\*)
- Ranking, negotiation and decision of the proposals (\*)
- Contract preparation, generation, validation, execution and monitoring
- Transferring financial transactions to and from the Commission's accounting system for further validation and processing
- Publication of project summaries on Cordis portal
- Statistics, reporting and information relating to management and monitoring of the Research Framework Programmes.

The processing will be extended to cover FP7 (subject to the adoption of the legal basis for FP7, which needs to be added to point 11 below), and other activities of the Research DGs relating to management of grants.

The data processed does not fall under Article 27, and does not require prior checking by the European Data Protection Supervisor.

This notification only covers activities under the responsibility of the ITMO.

(\*): These steps include automated processing that is covered by a service contract managed by the EC (see point 8)

None of the processing operations fall under the Article 27.

#### 3 . Sub-Contractors

DEASY Declan|SAFFAR Danielle

#### 4 . Automated / Manual operations

The system contains a number of modules with different functions, including some service contracts managed by the EC, namely, the ESP (External Service Provider for Evaluations), and EPSS (Electronic Proposal Submission System).

This notification covers the functionality from the following modules:

- CCM: Codes and Calls Module

- CPM: Contract and Project Management
- DESIS: Data Exchange Sub-Information System
- EMI/EMC: Expert Management Module
- DWH: Data warehouse
- OMM: Organisation Management Module
- PMT/Prima: Proposal Management Tool
- SEC: Security Module
- CIRCA: Documents Exchange System
- SESAM : DAM (Data Aggregation Module), QUEST (questionnaire submission & consultation), and QUEST-I (internal questionnaire management)

This notification does not cover any automated "local" processing by the Commission services that may be undertaken in operational and administrative / financial units of the Research Directorates General

In the scope of the ITMO, the only manual processing operations are ancillary to the automated processing operations mentioned above, for example, to transfer data between the modules mentioned above and to verify correct operation of the automated processing. Manual processing of personal data may be carried out by the appropriate operational and administrative / financial units. This processing falls outside the scope of this notification.

## 5 . Storage

The data is stored at the DG DIGIT data centre, physically under the control of DG DIGIT. It is stored in various computer readable formats, including on magnetic and optical storage media.

## 6 . Comments

Note: "ITMO" stands for "IT Management Office", and refers to unit DG RTD/R/5

## Purpose & legal basis

### 7 . Purposes

The purpose of the processing is:

- To manage the Commission's administration of projects submitted for funding or funded through the Research Framework Programmes.
- To manage the Research Framework Programmes as a whole, in accordance with the applicable regulation(s).
- To manage other (non-FP) projects funded by DG RTD (and other Research DG).
- To disseminate key results of the research funded by the EU.
- To provide information as input for future policy making.

### 8 . Legal basis / Lawfulness

- Council Regulation (EC) N° 1513/2002 of 27 June 2002 concerning the sixth Framework Programme of the European Community for research, technological development and demonstration activities, contributing to the creation of the European Research Area and to innovation (2002 to 2006)
- Council regulation (EC, Euratom) N° 2002/668 of 3 June 2002 concerning the sixth Framework Programme of the European Atomic Energy Community (Euratom) for nuclear research and training activities, also contributing to the creation of the European Area (2002 to 2006)
- Various implementation regulations, and general regulations such as the Financial Regulations

The data processing is considered lawful, because it is necessary to:

- Meet requirements of the legal instruments mentioned above
  - Ensure compliance of Commission with legal obligations
  - Perform a contract with the data subject (or take steps prior to entering into contract)
- as described in points (a), (b) and (c) of Art 5 of Regulation (EC) 45/2001.

## **Data subjects / Data Fields**

### **9 . Data subjects**

See point 16

### **10 . Data fields / Category**

The applications manage general personal data required to achieve the purposes of the processing. The application does not manage any sensitive personal data in the meaning of Article 10 of Regulation (EC) N° 45/2001 of the 18 December 2000

The data managed for all data subjects are:

- Name, First name
- For anyone who has access to the system: User identification (login identifier, account reference) and information necessary for system security or audit reasons
- Gender, Nationality, Language
- Title, Function, Role
- Contact details (Address, work department, country of residence, email address, business and mobile telephone numbers, fax n°, etc)
- If the person receives payment: Bank account reference (IBAN and BIC codes), VAT n° (where applicable)

Data relating to expert evaluators and reviewers:

- Expert type, Passport n°
- Place / Date of Birth
- Previous Family Name
- Employment details (including whether currently employed, current employer, and 5 previous employers)
- Candidature reference, previous proposal submitted & programme
- Professional experience, Research interest, and expertise (in keywords)
- Languages written, spoken and read

Experts can select whether they authorise other Commission departments, Member States and States associated with the FP to access the data submitted by the expert. This data is entered by experts themselves on the EMC web site maintained by CORDIS under a service contract with the EC.

Data relating to Commission staff and intra-muros experts:

- EC Directorate General, Directorate, Unit, Office location

See point 17 above

## **Rights of Data Subject**

### **11 . Mandatory Information**

Information to the Data Subjects as described in articles 11 - 12 under 'Information to be given to the Data Subject' is provided in the text of the general conditions of the contract text provided to the contracting parties, and in the text displayed on web sites that collect personal data.

### **12 . Procedure to grant rights**

- Data subjects may contact the Data controller to exercise their rights under articles 13-19.
- The procedures followed will vary depending on the nature of the request.
- There is no charge for this request.

### **13 . Retention**

Data are kept for the longer of:

- Duration of the individual projects (plus 5 years after the end of the project to allow for audits)
- Duration of the Research Framework Programmes (plus 5 years on individual projects to allow for audits)
- Duration of an audit (if one is in progress)

#### 14 . Time limit

Blocking or rectifying data falling under the conditions of Art 13 to 16 of EC Regulation 45/2001 could be done on request.

#### 15 . Historical purposes

Not applicable

### **Recipients**

#### 16 . Recipients

Individuals falling in the categories listed in point 21.

- Internal authorised Commission staff and others that are working on behalf of the Commission to manage research projects within the Research Framework Programmes. They will include staff from DG RTD, ENTR, FISH, INFSO or TREN, and certain horizontal DGs
- Institutions involved in monitoring the Commission's operations (for example, Court of Auditors)
- Other structures associated with the Research Framework Programmes, such as Programme Committees.

A very limited subset of data is held at CORDIS (contact details of the main coordinator), in order to allow contacts between interested parties and the research consortium. Lists of experts who participated in evaluations are published through CORDIS after the evaluation is complete, giving name, gender nationality and organisation. The webpage on which experts can register themselves for consideration for appointment as experts ([http://www.cordis.lu/experts/fp6\\_candidature.htm](http://www.cordis.lu/experts/fp6_candidature.htm)) contains a statement advising them that these details may be published. Personal data is not transferred to third parties outside the EU.

#### 17 . Transfer out of UE/EEA

There are no transfers to third party countries not subject to Directive 95/46/EC (Article 9). Transfers to other community institutions and bodies and to member states are covered under point 20.

## General information

Creation : 06/02/2006

Keywords :

Last updated : 18/09/2008

Corporate : No

Registration : 18/09/2008

Language : English

Status : Archived

Model : No

Deleted : No

EDPS opinion (prior check) : No

DG.Unit : RTD.G.5

Target Population :

Controller : SMITS Robert-Jan

DPC Notes : -- Confidential --

Delegate :

DPC : BOURGEOIS Thierry, PENEVA Pavlina

## Processing

### 1 . Name of the processing

Front-office notification: processing of data submitted by Experts and proposal Applicants in the context of Framework Programmes and other Programmes and Initiatives managed by the Research Family's DGs (RDGs)

### 2 . Description

Collection and registration of the information needed to manage Framework Programs and other Programmes and Initiatives, in accordance with the appropriate regulations, from the publishing of calls, initial collection of personal data from proposal Applicants and Experts to evaluate these proposals, up to the point where collected data are sent to individual research DGs for further processing as projects until their closure. These further processing operations are covered under the so-called specific back-office notifications introduced by each Research DG. Please see attachments for the detailed description of the processing operations (see also attachment under point 7.).

Articles 20 (Exemptions and restrictions) and 27 (Prior checking by the EDPS) are not applicable.

List of attachments

- Some explanation relating to front-back architecture V0.2.doc
- Architecture V2 PDF.pdf
- Detailed description of the processing operations (point 7).doc

### 3 . Sub-Contractors

DEASY Declan|SAFFAR Danielle|N.A N.A|N.A N.A|N.A N.A

### 4 . Automated / Manual operations

All processing operations have an automated part. This point cover front-office automated processing operations and supporting IT systems (see attachment in point 7.). The back-office processing operations and supporting systems are covered in the back-office notifications of each Research family's DG.

The IT systems and supported front-office operations include:

- Cordis portal & Call Passport: "Call Publishing"
- Cordis portal: "External User Helpdesk"
- EPSS: "Electronic Proposal Submission"
- ESS: "Proposal Evaluation & Ranking"
- Cordis portal: "Publication of NCP names"
- CCM2: "Management of Codes and Calls reference data"
- SECUNDA: "Security Management" for local users

- OMM: "Organisation Management Module"
- EMC: "Expert Registration"
- PINOCCHIO/RIVET: "Evaluation Support" (for Research DGs)
- PDM/URF: "Organisations Registration/Verification/Validation"
- EFP: Evaluation Facility Planning

The scope of the front-office manual processing operations performed by EU personnel or contractors on their behalf is rather limited to certain areas mentioned below. Manually initiated transfer of data between systems is not considered as a processing operation and it is not mentioned here.

The following processing operations are considered:

- Establishing and approving lists of Experts to be invited to evaluations
- Providing help to Experts e.g., in case of EMC access password reset or other access related problems
- Updating the CCM2 codes and calls reference data after a new call or RDG reorganisation
- Publishing a call after input is received via the Call Passport system
- Organisation of data management, including research and identification of duplicate entries, verification and validation for organisation legal status following adequate background research, and management of unique organisation (participant) ids.
- Keeping paper documents storage, e.g. on organisation legal status

## 5 . Storage

The data is stored at the DG DIGIT data centre, physically under the control of DG DIGIT. The data can be transferred to local DG data centers operating under the same rules as the Digit data center. It is stored in various computer readable formats, including on magnetic and optical storage media.

The proposal data may also be stored in paper form, and they are transferred to the appropriate DG for further processing.

Organisation validation data (legal of financial) may also be stored in paper form, but they remain under the control of the RTD/T5 unit.

Organisation validation data (legal of financial) may also be stored in paper form, but they remain under the control of the RTD/T5 unit archiving at the Commission Zaventem storage facility.

## 6 . Comments

The responsibility for front-office operations and supporting IT systems is limited to the operations supported by RTD/T5. Processing operations on data collected by front-office systems like Expert selection, and proposal evaluation and ranking is really performed by the Research DGs for now, and are covered in their respective notifications for back-office processing operations (cf. question 8).

## Purpose & legal basis

### 7 . Purposes

The purpose of the processing is:

- To manage the Commission's administration of projects submitted for funding or funded through the Research Framework Programmes;
- To manage the Research Framework Programmes as a whole, in accordance with the applicable regulation(s);
- To manage other (non-FP) Programmes funded by Research DGs as a whole, in accordance with the applicable regulation(s).

### 8 . Legal basis / Lawfulness

Cf. attachement for the list.

The data processing is considered lawful, because it is necessary to:

- Meet requirements of the legal instruments mentioned above and ensure compliance of Commission with legal obligations as described in point (b) of article 5 of Regulation (EC) 45/2001;
- Perform a contract with the data subject (or take steps prior to entering into contract) as described in points (c) of article 5 of Regulation (EC) 45/2001.

For access to the Commission's database of potential experts by:

- Public research funding bodies from the Member States and the States associated to the Research Framework Programmes or to other Programmes and Initiatives,
- Commission departments not involved in the administration of the research Framework Programmes or of other Programmes and Initiatives,

the data processing is subject to prior approval of the data subject through two opt-in options at the time of the registration, as described in points (d) of article 5 and 6.(a) of article 9 of Regulation (EC) 45/2001.

Articles 20 (Exemptions and restrictions) and 27 (Prior checking by the EDPS) are not applicable.

List of attachments

- Legal basis (point 11).doc

## **Data subjects / Data Fields**

### **9 . Data subjects**

See point 16.

### **10 . Data fields / Category**

The IT applications manage general personal data required to achieve the purposes of the processing. They do not manage any sensitive personal data in the meaning of Article 10 of Regulation (EC) N° 45/2001 of the 18 December 2000.

IT administrators have access to user identification such as login identifier and access rights, as well as information necessary for IT system security and user access auditing reasons.

For applicants, the data collected are:

- Last name, First name
- Title, Gender
- Department/Faculty/Institute/Laboratory name
- Phone, Mobile phone
- E-mail, Fax
- Address, if different from organisation address

And, if proposal is selected, then additional information is be collected:

- Bank account reference (IBAN and BIC codes),
- VAT no (where applicable)

Data relating to expert evaluators and reviewers:

- First Name, Name,
- Phone number, fax number, e-mail address,
- Expert type
- Passport n°, Place/Date of Birth,
- Previous Family Name, Employment details (including whether currently employed, current employer, and 5 previous employers),
- Candidature reference, previous proposal submitted & programme,
- Professional experience, Research interest, and expertise (in keywords),

and, in case of appointment:

- Bank account reference (IBAN and BIC codes),
- VAT no (where applicable)

Experts can select whether or not (opt-in option) they authorise other Commission departments not involved in the administration

of the research Framework Programmes or of other Programmes and Initiatives, and public research funding bodies from the

Member States and the States associated to the Research Framework Programmes or to other Programmes and Initiatives to access the data submitted by them. This data is entered by experts themselves on

the EMC or Participant Portal web site maintained by CORDIS under a service contract with the EC.

See point 17 above.

List of attachments

- Categories of recipients (point 21).doc

## **Rights of Data Subject**

## 11 . Mandatory Information

Information to the Data Subjects as described in articles 11-12 under 'Information to be given to the Data subjects' is provided in service specific privacy statements displayed on websites that collect personal data (for Applicants: <https://ec.europa.eu/research/participants/urfi/secure/new/initialRegistrationRequest.do> and <https://www.epss-fp7.org/epss/welcome.jsp>, for experts: <https://cordis.europa.eu/emmp7/index.cfm?fuseaction=wel.welcome>).

List of attachments

- [V2.1 200800618 SSPS EXPERTS \(clean\).doc](#)
- [V3.1 20080618 SSPS APPLICANTS EPSS \(clean\).doc](#)
- [V3.1 20080618 SSPS APPLICANTS URF \(clean\).doc](#)

## 12 . Procedure to grant rights

Data subjects may contact the data Controller through the contact points indicated at the time they register or as indicated in the appointment letter/grant agreement to exercise their rights under articles 13-19, and are informed that any update of the process and related notification are published on the website of the commission's data protection officer ([http://ec.europa.eu/dataprotectionofficer/register/index.cfm?TargetURL=D\\_REGISTER](http://ec.europa.eu/dataprotectionofficer/register/index.cfm?TargetURL=D_REGISTER)).

## 13 . Retention

For Applicants:

For proposals retained for funding and grant agreement, data are kept for the longer one of the possible following periods:

- Duration of the individual projects (plus 10 years after the end of the project to allow for audits)
- Duration of the Research Framework Programmes and Initiatives (plus 5 years on individual projects to allow for audits)
- Duration of an audit (if one is in progress)

For proposals which are not granted, personal data are kept for 3 years and erased after this period.

For Experts:

Personal data are kept 10 years after their last update, unless of course Experts delete them themselves.

## 14 . Time limit

Blocking or rectifying data falling could be done on request, as mentioned in the Specific Privacy Statements (see point 15).

Regarding erasing Proposal Contact and Experts personal data, this can be done by the concerned persons themselves via the web interface and their password, as set during registration.

## 15 . Historical purposes

Project files are kept in the archives in Zaventem according to Commission rules.

## Recipients

### 16 . Recipients

Individuals falling in the categories listed in point 21.

Please see note from the Controller to the processing services in attachment to question 37.

Because of a lack of space, please see the requested information in attachment to point 17: "Categories of recipients (point 21)".

### 17 . Transfer out of UE/EEA

Not applicable - no transfer of personal data to third party countries.







## General information

Creation : 06/02/2006

Last updated : 23/06/2009

Registration : 23/06/2009

Status : Archived

Deleted : No

DG.Unit : RTD.G.5

Controller : SMITS Robert-Jan

Delegate :

DPC : BOURGEOIS Thierry, PENEVA Pavlina

Keywords :

Corporate : No

Language : English

Model : No

EDPS opinion (prior check) : No

Target Population :

DPC Notes : -- Confidential --

## Processing

### 1 . Name of the processing

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Articles 20 (Exemptions and restrictions) and 27 (Prior checking by the EDPS) are not applicable.

List of attachments

- [Some explanation relating to front-back architecture V0.2.doc](#)
- [Architecture V2 PDF.pdf](#)
- [Detailed description of the processing operations \(point 7\).doc](#)

### 3 . Sub-Contractors

DEASY Declan|SAFFAR Danielle|N.A N.A|N.A N.A|N.A N.A

### 4 . Automated / Manual operations

All processing operations have an automated part. This point cover front-office automated processing operations and supporting IT systems (see attachement in point 7.). The back-office processing operations and supporting systems are covered in the back-office notifications of each Research family's DG.

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- SECUNDA: "Security Management" for local users

- OMM: "Organisation Management Module"
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- PINOCCHIO/RIVET: "Evaluation Support" (for Research DGs)
- PDM/URF: "Organisations Registration/Verification/Validation"
- EFP: Evaluation Facility Planning

The scope of the front-office manual processing operations performed by EU personnel or contractors on their behalf is rather limited to certain areas mentioned below. Manually initiated transfer of data between systems is not considered as a processing operation and it is not mentioned here.

The following processing operations are considered:

- Establishing and approving lists of Experts to be invited to evaluations
- Providing help to Experts e.g., in case of EMC access password reset or other access related problems
- Updating the CCM2 codes and calls reference data after a new call or RDG reorganisation
- Publishing a call after input is received via the Call Passport system
- Organisation of data management, including research and identification of duplicate entries, verification and validation for organisation legal status following adequate background research, and management of unique organisation (participant) ids.
- Keeping paper documents storage, e.g. on organisation legal status

## 5 . Storage

The data is stored at the DG DIGIT data centre, physically under the control of DG DIGIT. The data can be transferred to local DG data centers operating under the same rules as the Digit data center. It is stored in various computer readable formats, including on magnetic and optical storage media.

The proposal data may also be stored in paper form, and they are transferred to the appropriate DG for further processing.

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Organisation validation data (legal of financial) may also be stored in paper form, but they remain under the control of the RTD/T5 unit archiving at the Commission Zaventem storage facility.

## 6 . Comments

The responsibility for front-office operations and supporting IT systems is limited to the operations supported by RTD/T5. Processing operations on data collected by front-office systems like Expert selection, and proposal evaluation and ranking is really performed by the Research DGs for now, and are covered in their respective notifications for back-office processing operations (cf. question 8).

## Purpose & legal basis

### 7 . Purposes

The purpose of the processing is:

- To manage the Commission's administration of projects submitted for funding or funded through the Research Framework Programmes;
- To manage the Research Framework Programmes as a whole, in accordance with the applicable regulation(s);
- To manage other (non-FP) Programmes funded by Research DGs as a whole, in accordance with the applicable regulation(s).

### 8 . Legal basis / Lawfulness

Cf. attachement for the list.

The data processing is considered lawful, because it is necessary to:

- Meet requirements of the legal instruments mentioned above and ensure compliance of Commission with legal obligations as described in point (b) of article 5 of Regulation (EC) 45/2001;
- Perform a contract with the data subject (or take steps prior to entering into contract) as described in points (c) of article 5 of Regulation (EC) 45/2001.

For access to the Commission's database of potential experts by:

- Public research funding bodies from the Member States and the States associated to the Research Framework Programmes or to other Programmes and Initiatives,
- Commission departments not involved in the administration of the research Framework Programmes or of other Programmes and Initiatives,

the data processing is subject to prior approval of the data subject through two opt-in options at the time of the registration, as described in points (d) of article 5 and 6.(a) of article 9 of Regulation (EC) 45/2001.

For paper and Internet publication of pictures and short curriculum vitae of grantees (successful applicants), the data subject has given his prior unambiguous consent. Either the data subject opted in at the time of the registration, or the data subject has signed a dedicated declaration agreement (cf. model attached to question 15)

Information to data subjects).

Articles 20 (Exemptions and restrictions) and 27 (Prior checking by the EDPS) are not applicable.

List of attachments

- Legal basis (point 11).doc

## Data subjects / Data Fields

### 9 . Data subjects

See point 16.

### 10 . Data fields / Category

The IT applications manage general personal data required to achieve the purposes of the processing.

They do not manage any sensitive personal data in the meaning of Article 10 of Regulation (EC) N° 45/2001 of the 18 December 2000.

IT administrators have access to user identification such as login identifier and access rights, as well as information necessary for IT system security and user access auditing reasons.

For applicants, the data collected are:

- Last name, First name
- Title, Gender
- Department/Faculty/Institute/Laboratory name
- Phone, Mobile phone
- E-mail, Fax
- Address, if different from organisation address

And, if proposal is selected, then additional information is collected:

- Bank account reference (IBAN and BIC codes),
- VAT no (where applicable)

And, if agreement of a grantee, for publication:

- Short curriculum vitae
- Picture

Data relating to expert evaluators and reviewers:

- First Name, Name,
- Phone number, fax number, e-mail address,
- Expert type
- Passport n°, Place/Date of Birth,
- Previous Family Name, Employment details (including whether currently employed, current employer, and 5 previous employers),
- Candidature reference, previous proposal submitted & programme,
- Professional experience, Research interest, and expertise (in keywords),

and, in case of appointment:

- Bank account reference (IBAN and BIC codes),
- VAT no (where applicable)

Experts can select whether or not (opt-in option) they authorise other Commission departments not involved in the administration

of the research Framework Programmes or of other Programmes and Initiatives, and public research funding bodies from the

Member States and the States associated to the Research Framework Programmes or to other

Programmes and Initiatives to access the data submitted by them. This data is entered by experts themselves on

the EMC or Participant Portal web site maintained by CORDIS under a service contract with the EC.

See point 17 above.

List of attachments

- Categories of recipients (point 21) V2.doc

## **Rights of Data Subject**

### **11 . Mandatory Information**

Information to the Data Subjects as described in articles 11-12 under 'Information to be given to the Data subjects' is provided in service specific privacy statements displayed on websites that collect personal data (for Applicants: <https://ec.europa.eu/research/participants/urf/secure/new/initialRegistrationRequest.do> and <https://www.epss-fp7.org/epss/welcome.jsp>, for experts: <https://cordis.europa.eu/emmp7/index.cfm?fuseaction=wel.welcome>).

Furthermore, applicants who have not opted-in at the time of their registration and who are granted may be offered to give their prior and unambiguous consent to the publication of their picture and short curriculum vitae at a later stage, through signature of a declaration of agreement.

List of attachments

- V2.1 200800618 SSPS EXPERTS (clean).doc
- V5.0 200900619 SSPS APPLICANTS EPSS (clean).doc
- V5.0 20090619 SSPS APPLICANTS URF (clean).doc
- Declaration of agreement 20090619 (clean).doc

### **12 . Procedure to grant rights**

Data subjects may contact the data Controller through the contact points indicated at the time they register or as indicated in the appointment letter/grant agreement to exercise their rights under articles 13-19, and are informed that any update of the process and related notification are published on the website of the commission's data protection officer ([http://ec.europa.eu/dataprotectionofficer/register/index.cfm?TargetURL=D\\_REGISTER](http://ec.europa.eu/dataprotectionofficer/register/index.cfm?TargetURL=D_REGISTER)).

### **13 . Retention**

For Applicants:

For proposals retained for funding and grant agreement, data are kept for the longer one of the possible following periods:

- Duration of the individual projects (plus 10 years after the end of the project to allow for audits)
- Duration of the Research Framework Programmes and Initiatives (plus 5 years on individual projects to allow for audits)
- Duration of an audit (if one is in progress)

For proposals which are not granted, personal data are kept for 3 years and erased after this period.

For Experts:

Personal data are kept 10 years after their last update, unless of course Experts delete them themselves.

### **14 . Time limit**

Blocking or rectifying data falling could be done on request, as mentioned in the Specific Privacy Statements (see point 15).

Regarding erasing Proposal Contact and Experts personal data, this can be done by the concerned persons themselves via the web interface and their password, as set during registration.

### **15 . Historical purposes**

Project files are kept in the archives in Zaventem according to Commission rules.

## **Recipients**

### **16 . Recipients**

Individuals falling in the categories listed in point 21.

Please see note from the Controller to the processing services in attachment to question 37.

Because of a lack of space, please see the requested information in attachment to point 17: "Categories of recipients (point 21)".

#### 17 . Transfer out of UE/EEA

Not applicable - no transfer of personal data to third party countries.





## General information

Creation : 06/02/2006

Last updated : 06/06/2011

Registration : 06/06/2011

Status : Archived

Deleted : No

DG.Unit : RTD

Controller : SMITS Robert-Jan

Delegate :

DPC : BOURGEOIS Thierry, PENEVA Pavlina

Keywords :

Corporate : No

Language : English

Model : No

EDPS opinion (prior check) : No

Target Population :

DPC Notes :

## Processing

### 1 . Name of the processing

Front-office notification: processing of data submitted by proposal Applicants in the context of Framework Programmes and other Programmes and Initiatives managed by the Research Family's DGs (RDGs) and related Executive Agencies (EAs) and Joint Undertakings (JUs)

### 2 . Description

Cf. attachements "7) Description of processing", "Architecture" and "Architecture description"..

List of attachments

- [7\) Description of processing v5.16.doc](#)
- [Architecture V5.13.pdf](#)
- [Architecture description V5.4.doc](#)

### 3 . Sub-Contractors

DEASY Declan|SAFFAR Danielle|N.A N.A|N.A N.A|N.A N.A

### 4 . Automated / Manual operations

All processing operations have an automated part. This point cover front-office automated processing operations and supporting IT systems (see attachment in point 7.) for applicants and participants. The front-office operations relating to experts are covered by the Research Executive Agency (REA), owner of the corresponding IT application, EMPP: "Expert Management in the Participant Portal".

The back-office processing operations and supporting systems are covered in the (local) back-office notifications of each Research family's DG.

The IT systems and supported front-office operations include:

- Cordis portal & Call Passport: "Call Publishing"
- Cordis portal: "External User Helpdesk"
- SEP: "Submission and Evaluation of Proposals"
- ESS: "Proposal Evaluation & Ranking" (until 2011, then through SEP)
- Cordis portal: "Publication of NCP names"
- CCM2: "Management of Codes and Calls reference data"
- SECUNDA: "Security Management" for local users
- OMM: "Organisation Management Module"
- PINOCCHIO/RIVET: "Evaluation Support" (for Research DGs)
- CaP: "Call Publishing"

- PDM/URF: "Organisations Registration/Verification/Validation"
- EFP: "Evaluation Facility Planning"
- NEF: "Negotiation Form"
- IAM: "Identity and Access Management"
- SESAM: management of accesses to SED, ESS, ARI, MCA
- FORCE (Form C)

Some of these services are embedded into the so-called "Participant Portal" (cf. attachments to question 7) Description of processing).

The scope of the front-office manual processing operations performed by EU personnel or contractors on their behalf is rather limited to certain areas mentioned below. Manually initiated transfer of data between systems is not considered as a processing operation and it is not mentioned here. The following processing operations are considered:

- Updating the CCM2 codes and calls reference data after a new call or RDG reorganisation;
- Publishing a call after input is received via the Call Passport system and CaP;
- Organisation of data management, including research and identification of duplicate entries, verification and validation for organisation legal status following adequate background research, and management of unique organisation (participant) ids;
- Keeping paper documents storage, e.g. on organisation legal status.

## 5 . Storage

The data is stored at the DG DIGIT data centre, physically under the control of DG DIGIT. The data can be transferred to local DG data centres operating under the same rules as the Digit data centre. It is stored in various computer readable formats, including on magnetic and optical storage media.

The proposal data may also be stored in paper form, and they are transferred to the appropriate DG for further processing.

Organisation validation data (legal of financial) may also be stored in paper form, but they remain under the control of the Research Executive Agency (REA).

## 6 . Comments

The responsibility for front-office operations and supporting IT systems is limited to the operations supported by RTD. Processing operations on data collected by front-office systems like Expert selection, and proposal evaluation and ranking is really performed by the Research DGs and related EAs and JUs, and are covered in their respective notifications for back-office processing operations (cf. question 8).

## Purpose & legal basis

### 7 . Purposes

The purpose of the processing is:

- To manage the Commission's administration of projects submitted for funding or funded through the Research Framework Programmes;
- To manage the Research Framework Programmes as a whole, in accordance with the applicable regulation(s);
- To manage other (non-FP) Programmes funded by Research DGs and related EAs and JUs as a whole, in accordance with the applicable regulation(s).

### 8 . Legal basis / Lawfulness

Cf. attachement "11) Legal basis of processing"

The data processing is considered lawful, because it is necessary to:

- Meet requirements of the legal instruments mentioned above and ensure compliance of Commission with legal obligations as described in point (b) of article 5 of Regulation (EC) 45/2001;
- Perform a contract with the data subject (or take steps prior to entering into contract) as described in points (c) of article 5 of Regulation (EC) 45/2001.

For paper and Internet publication of pictures, age, nationality and short curriculum vitae of funded projects

coordinators/leaders or principal investigators (successful applicants), the data subject has given his prior unambiguous consent. Either the data subject opted in at the time of the registration, or the data subject has signed a dedicated declaration agreement (cf. model attached to question 15) Information to data subjects). The data processing is subject to prior approval of the data subject through two opt-in options at the time of the registration, as described in points (d) of article 5 and 6.(a) of article 9 of Regulation (EC) 45/2001.

List of attachments

- 11) Legal basis of processing v5.16.doc

## **Data subjects / Data Fields**

### **9 . Data subjects**

See point 16).

### **10 . Data fields / Category**

Cf. attachment "17) Categories of recipients".

See point 17) above.

List of attachments

- 17) Data fields of data subjects v5.16.doc
- 21) Category(ies) of recipients v5.16.doc

## **Rights of Data Subject**

### **11 . Mandatory Information**

Information to the Data Subjects as described in articles 11-12 under 'Information to be given to the Data subjects is provided in service specific privacy statements (SSPSs) displayed on websites that collect personal data.

- Applicants:

<http://ec.europa.eu/research/participants/portal/appmanager/participants/portal>

<https://www.epss-fp7.org/epss/welcome.jsp>

<https://webgate.ec.europa.eu/nef/frontoffice/project/'project number'/view>

Furthermore, applicants who have not opted-in at the time of their registration and who are granted may be offered to give their prior and unambiguous consent to the publication of their picture, nationality, age and short curriculum vitae (cf. section 17) at a later stage, through signature of a declaration of agreement.

List of attachments

- SSPS Applicants v6.9.doc

### **12 . Procedure to grant rights**

Data subjects may contact the data Controller through the contact points indicated at the time they register or as indicated in the appointment letter/grant agreement to exercise their rights under articles 13-19, and are informed that any update of the process and related notification are published on the website of the commission's data protection officer ([http://ec.europa.eu/dataprotectionofficer/register/index.cfm?TargetURL=D\\_REGISTER](http://ec.europa.eu/dataprotectionofficer/register/index.cfm?TargetURL=D_REGISTER)).

### **13 . Retention**

For organisations retained for funding and grant agreements, personal data (on papers and registered in data bases) are kept as required by the Commission's Common Retention List (SEC(2007)970), i.e. 10 years after the end of the project. For organisations which are not granted, personal data are kept for 3 years and erased after this period.

### **14 . Time limit**

Blocking or rectifying data falling could be done on request, as mentioned in the Specific Privacy Statements (see point 15).

Regarding erasing Proposal Contact, this can be done by the concerned persons themselves via the web interface and their password, as set during registration.

#### 15 . Historical purposes

Project files are kept in the archives in Zaventem according to Commission rules.

### **Recipients**

#### 16 . Recipients

Individuals falling in the categories listed in point 21).

Cf. "21) Categories of recipients" attached to question 17).

#### 17 . Transfer out of UE/EEA

Not applicable - no transfer of personal data to third party countries.