RECORD OF PERSONAL DATA PROCESSING

*Art. 31 of the REGULATION (EU) 2018/1725 OF THE EUROPEAN PARLIAMENT AND OF THE COUNCIL of 23 October 2018 on the protection of natural persons with regard to the processing of personal data by the Union institutions, bodies, offices and agencies and on the free movement of such data, and repealing Regulation (EC) No 45/2001 and Decision No 1247/2002/EC (*henceforth the "Data protection regulation"*)*

Record nº	DPO 13 - 2019

In accordance with Article 31 of the data protection regulation, individuals whose personal data are processed by the Executive Agency in any context whatsoever are to be protected with regard to the processing of personal data and the Executive Agency has to keep records of their processing operations.

This record covers two aspects:
1. Mandatory records under Art 31 of the data protection regulation (recommendation: make the header and part 1 publicly available)
2. Compliance check and risk screening (initial; part 2 is internal only to the Agency, not published)

The ground for the record is (tick the relevant one):

☐ *Regularization of a data processing operation already carried out*
☐ *Record of a new data processing operation prior to its implementation*
☐ *Change of a data processing operation.*
☒ *Migration to record*

ERIS: ERC Research Information System

1	**Last update of this record if applicable**	17/10/2018 Ref. Ares(2018)5325118 - 17/10/2018
2	**Short description of the processing**	ERIS is an information system developed by the ERCEA to present and manage information on the ERC funding activities and projects. ERIS serves to support the Monitoring and Evaluation of ERC funding activities and to communicate to the general public ERC funding activities, their results and achievements. It integrates ERC data with external data related to the ERC projects or activities (namely from the Scopus database, an external collection of data curated by Elsevier, and from websites providing relevant press-releases or other research highlights), and allows for the extraction and management of

information from those data.

ERIS is accessible to two types of users: internal (Commission staff and Scientific Council members [from now on referred as "internal users"]), and external (general public [from now on referred as "external users"]). Both type of users need to log on to ERIS via username and password (by creating/using their ECAS account), and they are exposed to different parts of the data and information provided by ERIS, according to their user privileges and rights (the different privileges will be detailed at subsequent points of this document).

In general, ERIS has three main purposes:
– to allow policy officers to easily manage and analyse data from internal operational databases and specialised research information services
– to allow users (both external and internal, within their respective degrees of privileges) to look up information on the projects funded by the ERC
– to allow the general public to access information about ERC funding activities, their results and achievements.
The specific access rights for the internal and external users are detailed in point 9 Part 1.

Part 1 - Article 31 Record

3	**Function and contact details of controller**	Head of Unit A1 Support to the Scientific Council E-mail: A1 functional e-mail address <u>ERC-A1-DP@ec.europa.eu</u> .
4	**Contact details of the Data Protection Officer (DPO)**	ERC-DATA-PROTECTION@ec.europa.eu
5	**Name and contact details of joint controller (where applicable)**	N/A
6	**Name and contact details of processor (where applicable)**	European Commission DIGIT <u>DIGIT-ISHS-WEBLOGIC@ec.europa.eu</u> and <u>DIGIT-ISHS-ORACLE@ec.europa.eu</u>
7	**Purpose of the processing**	The purpose of the data processing is to support the Monitoring and Evaluation of ERC funding activities and to communicate to the general public ERC funding activities, their results and achievements. Monitoring and Evaluation of ERC funding activities is within the remit of the ERC Scientific Council, which in turn is supported by ERCEA Unit A1 - Support to the Scientific Council, whose mission includes, among others, to "lead on the assessment, monitoring, evaluation, reporting and statistical analysis of the ERC's activities".

8	**Description of the categories of data subjects**	☐ EA staff (Contractual and temporary staff in active position
		☐ Visitors to the EA
		☐ Contractors providing goods or services
		☐ Applicants
		☐ Relatives of the data subject
		☐ Complainants, correspondents and enquirers
		☐ Witnesses
		☒ Beneficiaries ☐ External experts
		☐ Contractors
		☒ Other, please specify: co-authors, patent co-inventors and Host institutions of ERC Grant holders.
9	**Description of personal data categories** Indicate **all** the categories of personal data processed and specify which personal data are being processed for each category (between brackets under/next to each category):	*Categories of personal data:* ☒ in the form of personal identification numbers: number of ERC project, identifier of authors in Scopus. (PIC) identifier number of the Host institutions, identifier of Grantees by ORCID, a non-proprietary alphanumeric code to uniquely identify scientific and other academic authors and contributors. These data are accessible to the external users as well as to internal users. Grantees (principal investigators) are also given an ad-hoc ERIS identifier not related to their actual ERC number. This ad-hoc ERIS identifier is accessible to external as well as to internal users (while the actual ERC identifier is not accessible via ERIS to external nor internal users), ☐ concerning the physical characteristics of persons as well as the image, voice or fingerprints ☐ concerning the data subject's private sphere ☐ concerning pay, allowances and bank accounts ☐ concerning recruitment and contracts ☐ concerning the data subject's family ☒ concerning the data subject's career: Grantees funded projects, publications, patents, prizes and press-highlights of project results. These data are available to the external as well as the internal users. ☐ concerning leave and absences ☐ concerning missions and journeys ☐ concerning social security and pensions

☐ concerning expenses and medical benefits

☐ concerning telephone numbers and communications

☒ concerning names and addresses (including email addresses):
- Grantees: first and last names as well as names their co-authors and co-inventors for patents.
- Host Institutions (organisations): the original name (called "legal name"); the standardised name (English version of the original Institution's name manually translated and standardised); the country and city of the organisation; location coordinates (latitude and longitude).

These data are accessible to the external as well as to the internal users.

☐ Other, please specify:

- Advanced results of bibliometric analysis: this is available only to internal users.

Categories of personal data processing likely to present specific risks:

☐ data relating to suspected offences, offences, criminal convictions or security measures

☐ data being used to evaluate personal aspects of the data subject (ability, efficiency, conduct)

Categories of personal data whose processing is prohibited, with exceptions (art. 10 new Regulation):

☐ revealing racial or ethnic origin   ☐
revealing political opinions   ☐
revealing religious or philosophical beliefs   ☐
revealing trade-union membership   ☐
concerning health   ☐ genetic data, biometric data for the purpose of uniquely identifying a natural person   ☐ concerning sex life or sexual orientation

Specify any additional data or explanatory information on the data being processed, if any: The data used is related to FP7 and H2020 funded projects.

| 10 | **Retention time (time limit for keeping the personal data)** | :
 The retention period is in line with the retention time and policy specified for ERC relevant data.
 Is any further processing for historical, statistical or scientific purposes envisaged?
 ☒ yes ☐ no

 If yes, indicate the further retention time: The retention period is in line with the retention time and policy specified for ERC relevant data |
| 11 | **Recipients of the data** | - "Internal" users: staff members of the ERCEA and RTD/European Commission; members of the Scientific Council
 - "External" users: the general public.
 Both types of users need an ECAS account to be able to login onto ERIS after authentication and to be able to access |

		the information it provides, according to their access rights (via an Internet browser).
12	**Are there any transfers of personal data to third countries or international organisations? If so, to which ones and with which safeguards?**	Users need to have a valid ECAS account to access the information and the servers where the data is stored are located in the EU. However no geoblocking is envisaged.
13	<u>**General**</u> **description of the technical and organisational security measures**	ERIS is protected by ECAS Login, which guarantees the authentication for each user wanting to connect to the system. Furthermore, an additional authorisation mechanism has been setup to enable a fine-grained data access management for users with different privilege levels/rights. End users can access the application interface from the Internet via web-browser. The databases are hosted at DIGIT (European Commission) and at the ERCEA (see section 6, Part 2), who are in charge of the back-ups and availability for the respective databases. Only authorised internal staff has access to the databases, which is not accessible via Internet. The source code is stored in version control (GiT) managed by the Commission Information Technology Network (CitNet-DIGIT). Only members of the Software Development Team (in ERCEA A1 and D1 IT Solutions and Services) are granted access to the code.
14	**Information to data subjects/Data Protection Notice (DPN)**	The personal data stored in the internal databases of ERCEA have been provided by the data subjects themselves at the time of application, evaluation and/or during the grant agreement. They are informed of their rights through the following means: A. In the Specific Privacy Statement (SPS)/Data Protection Notice (DPN) that has been provided to applicants (See Annex I to this record for grants under the FP7 and Annex II for grants under H2020), it is said that: When you apply to the ERC the personal information that you provide on your application forms is used in order to (…). In addition, this information can be used to manage, evaluate and assess the impact of the activities of the ERC and other European Union actions. A limited subset of this information may be used to publicise the results of projects funded by the ERC (see section 2). B. As described in Article II.12 of Model Grant agreement (Annex III to this record): The Agency and the Commission shall be authorised to publish,

		in whatever form and on or by whatever medium, the following information:
		- the name of the beneficiary, principal investigator, or other team members; - contact address of the beneficiary; - the general purpose of the project in the form of the summary provided by the beneficiary (with the consent of the data subject); - the amount and rate of the financial contribution of the Union granted to the project; - after the final payment, the amount and rate of the financial contribution of the Union accepted by the Agency; - the geographic location of the activities carried out; - the list of dissemination activities and/or patent (applications) relating to foreground; - the details/references and the abstracts of scientific publications relating to foreground and, where provided, pursuant to article II.30.3, the published version or the final manuscript accepted for publication; - the publishable reports submitted to it; Data subjects are also informed of their rights in a dedicated section of the ERIS information system, and, in case they would like to exercise their rights, are invited to write to ERC-ERIS@ec.europa.eu. Specific privacy statements/Data Protection Notices are, and are also available at: Specific Privacy Statement for Applicants under FP7 - Annex 11 to DPO Notification 5-2011 FP7 Specific Programme IDEAS - Proposals Evaluation, Grants Management and follow-up – Ares (2014)969327. Specific Privacy Statement for Applicants under H2020 (Participant Portal - http://ec.europa.eu/research/participants/data/support/legal_notice/h2020-ssps-grants_en.pdf) Specific Privacy Statement for Experts under FP7 Specific Privacy Statement for Experts under H2020 (available in the Participant Portal - http://ec.europa.eu/research/participants/data/support/legal_notice/h2020-ssps-experts_en.pdf).