



European Research Council
Executive Agency

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ERCEA

SPECIFIC PRIVACY STATEMENT ERCEA ERC- Proposals Evaluation, Grants Management and Follow-up

This statement concerns the processing operation called "ERC - Proposals Evaluation and Grants Management". This processing requires the handling of personal data, and is therefore subject to Regulation (EC) No 45/2001¹.

1. What personal information do we collect, for what purpose and by what means?²

When you apply to the ERC the personal information that you provide on your application forms is used in order to evaluate your proposal, and in the event that you are successful, to award funding and manage your grant agreement.

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).

In the **Evaluation Phase**, the following categories of data are collected and processed:

1. Information on the Principal Investigator (PI):

- Identification data: last name, family name at birth, first name(s), title, gender, nationality, residence country, birth date, country and town of birth, contact address within the organisation, phone, mobile phone (optional), fax, email(s).
- Special categories of data: academic and research record, copy of PhD document (for Starting Grant), any significant career breaks (for career stage extension) and data on children, military service and/or statutory service (to justify career breaks), Unique Applicant number (to link proposals of the same applicant).
- Health data: medical certificates (for career stage extension).

2. Information on the Co-Investigator(s) (Co-I), if applicable:

- Identification data: first name, last name, title, gender, nationality, residence country, date, country and town of birth, contact address within the organisation, phone, mobile phone (optional), fax, email(s).

¹ Regulation (EC) 45/2001 of the European Parliament and of the Council on the protection of individuals with regard to the processing of personal data by the Community institutions and bodies and on the free movement of such data, OJ L 8, 12.1.2001, p. 1.

² For details on data collected in the "Exclusion of Experts by Applicants" system, please refer to the relevant Privacy Statement at <http://erc.europa.eu/space-erc-reviewers>.

- Special categories of data: academic and research record.
- 3. Information on the authorised legal representative of the Host Institution (HI):
- Identification data: last name, first name, title, gender, position.
- 4. Information on the contact person at the HI:
- Identification data: first name, last name, contact address within the organisation, phone, mobile phone (optional), fax, email(s).

The standard forms used to collect data on PIs, Co-Is, legal representatives and contact persons are included in the Guide for Applicants. In addition, the PIs and Co-PIs are required to include a CV in their application, for which there is no template.

In the **preparation and management phases**, only identification data are processed:

- For PIs: family name, first name, gender, nationality, country of residence, date of birth, country and city of birth type of ID document, ID number, contact details;
- For authorised representatives and contact persons in the HIs: family name, first name, gender, contact details.

Further documentation might be requested in the framework of the ethics screening/review/monitoring of proposals/projects: (a) training certificates, personal and/or project licences (e.g. for experiments with animals); (b) authorizations from the local/national competent authority/body (e.g. for the handling of personal data and/or human bio samples); (c) permissions for the secondary use of data.

It should be avoided to provide irrelevant and/or excessive data.

2. Who has access to your personal information and to whom is it disclosed?

In line with the 7th Framework Research Programme your personal data can be disclosed to:

- Internal authorised Commission staff, independent experts and contractors who are working on behalf of the ERC, the Commission and/or its institutions for the purposes of proposal evaluation, grant management, project reporting and Research networking and for selected projects under a grant agreement, also for managing the operational and financial aspects of research projects within the Research Framework Programmes or other Programmes and Initiatives.
- Other structures associated with the Research Framework Programmes, other Programmes and Initiatives, such as e.g. Programme Committees, Advisory Groups, other European Institutions or Community Programmes/Bodies/Initiatives.
- Public:
 - For projects under a grant agreement, a limited subset of data (contact details of the administrative representative of each Participant and of the Project Coordinator, total budget of the project, publishable deliverables) may be published on the Participants Portal / CORDIS / Europa / other dedicated website / paper in order to allow establishing contacts between interested parties and the research consortium, and may be printed for further dissemination.
 - In case of prior and unambiguous consent of the project coordinator/leader, PI or any participant in a funded project (opt-in option), further data (short curriculum vitae, nationality, age, picture) may be published on paper and Internet.

With regards the specificities of IDEAS Programme and ERCEA, the primary recipients of these data are mainly the staff of the Scientific Department of the ERCEA, the experts

of the corresponding panel and other experts involved in evaluation (shadow panel members, secondary panel members and remote referees).

The identification data of the PIs and of the contact persons in the HIs can be used for the implementation and the follow-up of the ERC Grant Agreements and the evaluation and impact assessment of activities of the European Union.

In addition, in particular cases, certain information may be disclosed to the Scientific Council, in relation to their duties to establish the overall strategy for the ERC and the methods and procedures for peer review, proposal evaluation and final ranked lists of projects.

Provided unambiguous consent is given, contractors and beneficiaries of a Cooperation and Support Action (CSA) might access a batch of personal data of applicants and PIs for purposes related to monitoring, study and evaluation.

In addition, certain administrative details may be disclosed, in compliance with the relevant current legislation and established case law, and on a temporary basis to legislative or supervisory bodies of the ERCEA, as well as auditing bodies.

The following data may be provided:

(i) Data which might be accessed and transferred to the third parties mentioned above:

- Last name, First name;
- Title, Gender;
- Nationality;
- Country where the applicant is legally resident at the time of the application;
- Department/Faculty/Institute/Laboratory name;
- Phone, Mobile phone;
- E-mail(s), Fax;
- Address, if different from organisation address.

(ii) Data relating to all selected proposal/funded projects that is usually published on the Participants Portal / CORDIS / Europa / ERC /other dedicated Internet website / paper publications:

- Project summaries;
- All contacts details of participants (e.g. names, phone, fax, e-mail, location, country, etc).

(iii) If the project coordinator/leader or PI or any other participant in a funded project agrees unambiguously (*opt-in option*), the following data may be published on paper and Internet for communication purposes (and further processed for statistics/study/programme evaluation purposes by contractors or beneficiaries of a CSA – Cooperation and Support Action):

- His/her short curriculum vitae (professional contact details, education and work experience);
- His/her picture;
- His/her nationality (for statistical and communication purposes - e.g. the analysis of the mobility of researchers);
- His/her age (for statistical and communication purposes - e.g. the analysis of the participation of young/elder researchers).

(iv) The following personal data may be collected and further processed concerning the scientific staff members of a project team of a participant (i.e. the entity which signed the grant agreement), only upon unambiguous and informed consent of each concerned data subject (*opt-in option*), and for anonymous statistical

studies, impact evaluation of the programme, or improvement of the funding schemes for researchers:

- Last name, First name;
- Gender;
- Nationality;
- Staff category;
- Year of birth;
- Information on the latest higher education (degree, subject area, institution, year of award, country);
- Information on the latest post doctorate of professional station (activity, start and end dates, institution/organisation, country);
- Employment period within the funded project (start and end dates);
- Completion of the doctorate within the project (month, year, subject area).

The prior agreement of each concerned data subject shall be documented by the concerned participant (i.e. the entity which signed the grant agreement) according to the model of declaration annexed to the FP7 Service Specific Privacy Statement for Applicants, to be filled in and signed by the data subject, and kept at disposal of the ERCEA by the participant for any possible verification (hereby enclosed).

(v) In case of prior and unambiguous consent of the PI (*opt-in option*) the following set of data will be disclosed to certain institutions that award prizes to excellent researches and that take contact with the ERC for lists of funded researches:

- Last name, first name;
- Non-confidential proposal title and abstract;
- Proposal acronym;
- Host institution;
- PI's contact details.

The latter batch of data together with the result of the evaluation (score and ranking range) are disclosed to certain national and regional public research funding authorities which run schemes to fund ERC applicants that score highly in the evaluation but which cannot be funded by the ERC due to its limited budget, upon prior and unambiguous consent of the PI (*opt-in option*).

3. How do we protect and safeguard your information?

Organisational measures applied to the various agents having access to the information stored in the database include appropriate specific access rights and controls. Secure access is also implemented using the ECAS (European Commission Authentication Service).

All the agents involved in the evaluation process are reminded to use the personal data received only for the purposes for which they were transmitted and to disregard all irrelevant and excessive data received with the project applications.

The information is stored in a database that resides on the servers of the European Commission, the operations of which abide by the European Commission's security decisions and provisions established by the Directorate of Security for this kind of servers and services.

When processing operations are run by a service provider under a specific contract with the Commission/ERCEA, this provider acts only on instruction from the data controller and undertakes to adopt appropriate technical and organisational security measures having regard of the risks inherent in the processing and to the nature of the personal data concerned, and respectfully of Regulation (EC) N° 45/2001.

4. How can you access, verify, modify or delete your data?

If you want to verify, modify, correct or delete any personal data, you should apply to the ERCEA Director or:

- the Head of Department B, co-responsible for the processing of data under the *Proposals Evaluation Phase*;
- the Head of Department C, co-responsible for the processing of data under the *Grants Management Phase*;
- the Head of Unit A1, co-responsible for the *management, evaluation and impact assessment of the ERC actions*.

(i.e. the Co-Controllers), by sending an e-mail giving details of your request to the mailbox indicated in point 6.

Evaluation Phase: The (Co-)Controller shall grant access to, modify, correct or delete any personal data following the applicant's request before the end of the call deadline. Once the call deadline has passed, the ERC shall grant access to but cannot accept any further additions or corrections of your data.

Preparation and Management phases: The (Co-)Controller shall grant access to, modify, correct or delete any personal data at any time within 45 calendar days from the receipt of the applicant's request until the proceedings are finalised and the file is closed.

More information on your direct exercise of access rights on the Participant Portal can be found in the research family Service Specific Privacy Statement on the "*Processing operations of applicants data*", which can be found on the link:

<http://ec.europa.eu/research/participants/portal/desktop/en/support/legal.html>

5. How long do we keep your data?

For information on applicants receiving funding and a grant agreements, personal data (on papers and registered in data bases) are kept as required by the Commission's Common Retention List (SEC(2012)713) applied by analogy in the ERCEA Retention Plan, i.e. 10 years after the closing of the project.

For applicants which are not granted, personal data are kept for 3 years after the latest decision to reject the proposal was issued by the Programme Steering Committee / the closing of the project (if the negotiation failed) / the last update made by the concerned authorised representative of the data subject and eliminated after this period.

6. Contact information

If you would like to receive further information, you can contact the responsible persons (the Co-Controllers, as indicated in section 4 above) via the dedicated functional mailbox.

Please note that **there is a functional mailbox for applicants for each call**, with the format ERC-year-ADG/STG-APPLICANTS@ec.europa.eu³

Article 13 of the Steering Committee decision StC210610/6 - available on the external ERCEA website - provides the applicable provisions to exercise data subjects' rights.

The ERCEA Data Protection Officer is at your disposal for any clarification you might need on your rights under Regulation (EC) 45/2001: ERC-DATA-PROTECTION@ec.europa.eu

³ Example: for 2011 advanced grants call it is ERC-2011-ADG-APPLICANTS@ec.europa.eu

In case of conflict, complaints can be addressed to the European Data Protection Supervisor: EDPS@edps.europa.eu

7. Legal basis

The legal basis references which apply to the above processing operations are contained in

- Articles 182 TFEU and 294 TFEU
- Decision n. 1982/2006 of the EP and the Council concerning the FP7
- Regulation (EC) n. 1906/2006 Rules of participation of undertakings, research centres and universities
- Council Decision 2006/972/EC concerning the specific programme Ideas
- Commission Decision 2007/134/EC establishing the ERC
- Commission Decision (2011/12/EU) of 12 January 2011 amending Decision 2007/134/EC establishing the European Research Council
- Commission Decision C(2007)2286 ERC rules for the submission of proposals and the related evaluation, selection and award procedures relevant to the Ideas Specific Programme
- Commission Decision (2010/767/EU) of 9 December 2010 amending Decision C(2007) 2286 on the adoption of ERC Rules for the submission of proposals and the related evaluation, selection and award procedures for indirect actions under the Ideas Specific Programme of the Seventh Framework Programme (2007 to 2013)
- Regulation (EC) n. 58/2003 laying down the statute for executive agencies
- Commission Decision 2008/37/EC setting up the ERC Executive Agency (ERCEA)
- Commission Decision C(2008)5694 delegating powers to the ERCEA

ANNEX

Declaration of agreement on the provision of personal data of scientific staff members

Project identification:

I undersigned.....

Employed by: *(name of the project participant)*

Declare hereby that:

- I have read and understood the provisions described in the relevant "Service Specific Privacy Statement" regarding the processing operations of my personal data;
- I agree that my following personal data are collected by the Controller (*European Commission, Research Executive Agencies or Joint Undertakings*) and further processed for anonymous statistical studies, impact evaluation of the programme, or improvement of the funding schemes for researchers:
 - o Last name, First name
 - o Gender
 - o Nationality
 - o Staff category
 - o Year of birth
 - o Information on the latest higher education (*degree, subject area, institution, year of award, country*)
 - o Information on the latest post doctorate of professional station (*activity, start and end dates, institution/organisation, country*)
 - o Employment period within the funded project (*start and end dates*)
 - o Completion of the doctorate within the project (*month, year, subject area*).

Done on... *(date)* at... *(city, country)*

(name and signature preceded by the mention "read, understood and approved").