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 19-2020

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 from notification to record.

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ERCEA Surveys

1. Last update of this record if applicable
   - Last notification of processing operation 20/09/2013 Ares(2013)3088441

2. Short description of the processing
   - The ERCEA launches surveys or questionnaires for various purposes, such as:
     - Discovering or confirming ways to improve the working environment and/or a work process;
     - Collecting stakeholder opinions regarding ERC related matters, (e.g. events, policy, etc.);
     - Raising awareness (e.g. about ethics issues or fraud);
     - Organising European Research Council events (e.g.
conferences, workshops);

- Assessing the interest to change ERC processes (e.g. introducing PI interviews in the second step of the Advanced Grant evaluation);

- Exploring opportunities for commercial exploitation or societal valorisation of ERC frontier research.

When submitting the survey, certain personal data may be collected: name, surname, organisation, responses, date of completion and modification (if applicable) of the questionnaire, among others. Responses vary depending on the topic of the survey. The collection and aggregation of these data lead to their subsequent analysis.

Surveys are built on SharePoint, commissioned via EUSurvey, or created as a poll in Microsoft Outlook.

Survey owners (i.e. the Units launching the survey) determine if the survey must be fully anonymous. For SharePoint surveys, the process of anonymization is carried out manually by the survey owners.

<table>
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<tr>
<th>Part 1 - Article 31 Record</th>
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| 3 | Function and contact details of the controller | ERCEA Director  
| | | ERC-SURVEYS@ec.europa.eu |
| 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) | Directorate-General for Informatics (DG DIGIT)  
| | | DIGIT-EUSURVEY-SUPPORT@ec.europa.eu |
| 7 | Purpose of the processing | Surveys or questionnaires serve to collect and aggregate data, which in turn leads to their analysis.  
| | | Survey owners determine the specific purpose of the survey when designing it. The DPO verifies whether the purpose and the collected data is appropriate.  
| | | The processing of personal data is also required to ensure that participants cannot submit answers more than once and, when needed to allow filtering out non-ERCEA staff who may have submitted answers. |
### Description of the categories of data subjects

Below are examples of data subjects surveyed in the past. A survey generally addresses a single data subject category.

- **X** EA staff (Contractual and temporary staff in active position)
- □ Visitors to the EA
- □ Contractors providing goods or services to the Agency
- **X** Applicants
- □ Relatives of the data subject
- □ Complainants, correspondents and enquirers
- □ Witnesses
- **X** Beneficiaries
- **X** Independent experts
- **X** Principal investigators (PI)
- **X** Other Scientific staff
- □ Subcontractors
- **X** Other, please specify: ERC stakeholders

### 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:**

These are the categories collected in some past surveys. Surveys can be anonymous and do not request any personal data.

- **X** in the form of personal identification numbers
- □ concerning the physical characteristics of persons as well as the image, voice or fingerprints
- **X** concerning the data subject's private sphere
  
  [E.g. information on how colleagues are coping with a specific situation].
- □ concerning pay, allowances and bank accounts
- **X** concerning recruitment and contracts
  
  [**Internal** organisation (agency/unit) **External** Principal Investigators, Host Institutions].
- **X** concerning the data subject's family
  
  [For instance, the number of family members].
- **X** concerning the data subject's career
  
  [E.g. information related to training activities, internal events and also information linked to beneficiaries, National Contact Point (NCP) and PIs].
Concerning leave and absences

concerning mission and journeys

Concerning social security and pensions

[Satisfaction surveys on the rights and benefits of staff members].

Concerning expenses and medical benefits

Concerning telephone numbers and communications

Concerning names and addresses (including email addresses)

[Name, surname, professional email address].

Other : please specify : see examples below

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 date of completion and modification (if applicable) are also gathered.

The topics on which opinions/responses are requested vary from survey to survey, as does the form and format of the survey, therefore the personal data collected.

Survey owners specify the retention times in the data protection notice distributed with their survey.

Is any further processing for archiving purposes in the
The ERCEA may envisage anonymous statistical analyses. However, the retention periods mentioned above will not be increased.

### 11 Recipients of the data

The persons with access to the personal data, on a need-to-know basis are:

- The authorised ERCEA personnel in charge of creating and launching the survey;
- The European Commission and other Agencies in case of joint surveys;
- Authorised staff members in the IT Unit (D.1) and DG DIGIT in charge of developing, hosting and maintaining the system;
- Members of the Scientific Council (ScC).

### 12 Are there any transfers of personal data to third countries or international organisations? If so, to which ones and with which safeguards?

Not applicable.

### 13 General description of the technical and organisational security measures

The Agency procedure states that the IT Unit creates the survey on behalf of the survey owners. The creator of the survey can export and send the results to the survey owners.

### 14 Information to data subjects/Data Protection Notice (DPN)

The information on the processing of personal data is made available to the data subjects. Each individual survey is accompanied by its own DPN.

For the Privacy Statement of EUSurvey, data subjects may refer to:

https://ec.europa.eu/eusurvey/home/privacystatement