



Record <sup>1</sup> of processing activities		
Regarding the management of the Annual staff appraisal exercise at the European Institute of Innovation and Technology		
Nr	Item	Description
1	Reference number	DPO-14-15
2	Name of the data controller, the data protection officer and processor <sup>2</sup> , if applicable and contact details	The data controller is the Head of the Administration Unit. Contact e-mail: ( <a href="mailto:HR@eit.europa.eu">HR@eit.europa.eu</a> ).  Contact e-mail of the <b>Data Protection Officer</b> : <a href="mailto:EIT-DPO@eit.europa.eu">EIT-DPO@eit.europa.eu</a>
3	Purposes of the processing	As of 12 January 2023, the EIT uses the SYSPER 2 “Appraisal” module which serves for the management of the annual staff appraisal exercise and the production of annual appraisal reports.  For staff members in long term absence, the appraisal exercise may be conducted in ARES. In those cases where ARES is not available, the staff members concerned may complete the self-assessment via email addressed to the reporting officer. Any correspondence to HR shall be addressed to the relevant focal point in HR via email for registration in Ares as sensitive.  Every year, a report covering the period from 1 January to 31 December of the preceding year shall be drawn up for: - each econtract staff engaged for a period of one year, - and each temporary staff member who was in active employment or seconded in the interests of the service for a continuous period or at least one month during the reporting period.

<sup>1</sup> In line with article 31 of 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

<sup>2</sup> For more information., please see below (categories of data recipients).



	<p>The preparation of this report follows several steps:</p> <ul style="list-style-type: none"> <li>– preparation of a self-assessment by the staff member, following the request of the staff member’s director superior (reporting officer);</li> <li>– organisation of a dialogue between the staff member and the reporting officer. In course of this dialogue, the reporting officer shall, jointly with the staff member:             <ul style="list-style-type: none"> <li>a) Assess the staff member’s performance during the reporting period, consider the latter’s efficiency, the ability he or she has demonstrated and his or her conduct in the service during the reporting period;</li> <li>b) Identify the staff member’s training needs.</li> </ul> </li> <li>– drawing up an individual qualitative appraisal of the staff member’s efficiency, ability and conduct in the service;</li> <li>– if the staff member’s performance is deemed insufficient by the reporting officer, the report shall be transmitted to the countersigning officer who shall confirm, complete or modify the report;</li> <li>– sending the qualitative report to the staff member who may accept or refuse to accept the report;</li> <li>– in the event of the refusal to accept the report, the appeal assessor shall confirm or amend the report, giving reasons.</li> </ul> <p>The report (including the self-assessment) shall be completed by each actor from his/her PC. At each stage, the actor involved is informed by means of a message in SYSPER2 and a message generated by Outlook reminding him of the deadlines he/she has to intervene. The module manages passing from one stage to another, saves the modifications made, agreements, refusals or observations of each actor.</p> <p>Before the launch of each appraisal exercise, administrative information is published/or updated by the EIT HR Section on the HR’s sharepoint, which indicates the purpose of the procedure, its implementation procedures by SYSPER 2, its timing, and how the information will be handled.</p>
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		<p>Each appraisal exercise is launched by means of an administrative notice which indicates the steps in the procedure, the actors involved in the appraisal exercise and an indicated timeline.</p> <p>The data processing operations include the collection, recording, organisation, storage, consultation, use, disclosure by transmission, erasure and destruction of personal data. In particular, the personal information of the data subjects are accessed, evaluated, stored and eventually destroyed.</p> <p>The legal basis for the processing operations is indicated in a separate point below.</p>
4	<b>Categories of data subjects</b>	The data subjects are all temporary and contract staff members working for the EIT.
5	<b>Categories of the personal data processed</b>	<p>The following types of personal data are processed for the above-mentioned purposes by the “Appraisal” module:</p> <ul style="list-style-type: none"> <li>• identification data (name, first name, personal ID )</li> <li>• data relating to function group/grade/step)</li> <li>• data relating to the job description</li> <li>• data relating to languages knowledge, skills acquired, performance, competence, conduct, responsibilities, training and development</li> <li>• appraisal and comments by the line manager</li> <li>• evaluations written by the reporting officer in the appraisal reports</li> </ul>
6	<b>Categories of data recipients</b>	<p><b>Within the EIT:</b></p> <p>The personal data of the data subjects are processed by the EIT authorised staff: line manager of the data subject (Head of Department/Unit), EIT HR, Head of Administration Unit, Director.</p> <p>Access will be given to the Internal Auditor of the EIT by request and if necessary for the performance of the duties of the Internal Auditor: depending on the nature and the scope of the</p>



	<p>specific audit, the Internal Auditor will be given access to personal data which is relevant for and serves the purpose of the specific audit exercise.</p> <p><b>Within the Commission and other EU institutions/bodies/agencies:</b></p> <p>Since SYSPER 2 is a tool managed by the European Commission (i.e. DG HR is the system owner and parts of the tasks as subcontracted to DG DIGIT under a separate agreement, such as technical support related to the implementation and operation of SYSPER 2 modules, hosting of SYSPER 2 and other components, analysis of technical nature in relation to providing additional modules and services), there is a <u>controller and processor relationship</u> between the EIT and the European Commission:</p> <ul style="list-style-type: none"> <li>- Controller: the EIT enters data in the system, processes the data and ensures its accuracy.</li> <li>- Processor: DG HR and DG DIGIT maintain the system and provide technical support, business support with relation to the system (e.g. if a specific request that could not be solved within the EIT Local Support Team).</li> </ul> <p>Authorised staff of the following EU institutions may have access to relevant personal data for audit control or investigation purposes: Court of Auditors, Internal Audit Service of the European Commission, European Anti-Fraud Office (OLAF).</p> <p>For the purpose of handling review procedures and litigation, access to the personal data may be granted also to the European Ombudsman, the European Data Protection Supervisor, the General Court and the European Court of Justice upon request and to the extent necessary for handling the review procedure and litigation.</p> <p><b>Third parties subject to the GDPR<sup>3</sup> and third parties not subject to the GDPR:</b></p>
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<sup>3</sup> Regulation (EU) 2016/679 of the European Parliament and of the Council of 27 April 2016 on the protection of natural persons with regard to the processing of personal data and on the free movement of such data, and repealing Directive 95/46/EC (General Data Protection Regulation)



		<p>Exceptionally and if necessary, personal data stored in the “Appraisal” module may be disclosed to third parties, e.g. external lawyers subject to the GDPR, for specific and limited purposes only. In this case, a written contract (service contract) is signed between the EIT and the external lawyer to ensure that Article 29 of the Data Protection Regulation of the European institutions is respected by the data processor. These written contracts follow the model of the Commission and include a specific article on data protection.</p> <p>The same applies to external IT contractors with whom the EIT has a framework contract to provide IT services for the EIT.</p>
7	<b>Time limit storage</b>	<p>In accordance with the Commission’s privacy statement, files related to the appraisal exercise shall be kept in SYSPER until the person or his or her entitled persons have exhausted the remedies, after the termination of their duties, within the meaning of Article 47 of the Staff Regulations and Articles 119 and 47 to 50 of the CEOS.</p> <p>For the files related to the appraisal procedures conducted before the implementation of the SYSPER module on appraisal in 2023, the retention period applicable would be for 10 years as of the termination of employment or as of the last pension payment.</p>
8	<b>If applicable, transfers of personal data to a third country or to international organization (if yes, the identification of that third country or international organization and the documentation of suitable safeguards)</b>	No
9	<b>General description of the technical and organisational security measures</b>	<p><b>Organisational measures:</b> access to personal data regarding the appraisal exercise is restricted to the EIT staff mentioned above.</p> <p><b>Technical measures:</b></p>



		<p>All documents related to the appraisal exercise conducted before the implementation of the SYSPER 2 module on 'Appraisal' are stored in Ares (marked sensitive) during the retention period established by the EIT. All documents related to the appraisal exercise conducted after the implementation of the SYSPER 2 module on 'Appraisal' are stored in SYSPER during the applicable retention period with restricted access rights inbuilt in SYSPER. Documents related to the appraisal exercise conducted in ARES due to exceptional circumstances, such as a long-term absence of the staff member, are stored in ARES. In those cases where ARES is not available, the staff members concerned may complete the self-assessment via email addressed to the reporting officer. Any correspondence to HR shall be addressed to the relevant focal point in HR via email for registration in Ares as sensitive.</p>
10	<p><b>For more information, including how to exercise rights to access, rectification, object and data portability (where applicable), see the privacy statement:</b></p>	<p>Please see the privacy statement annexed to the record as Annex.</p> <p>Please consult the Data Protection page on the EIT's website: <a href="https://eit.europa.eu/who-we-are/legal-framework/data-protection">https://eit.europa.eu/who-we-are/legal-framework/data-protection</a></p>

Signature of the data controller

(Approval is given via a workflow in ARES in place of a handwritten signature)

Annex: Privacy statement