

Joint Opinion on a notification for Prior Checking received from the Data Protection Officers of the European Commission, the Council, the European Parliament, the European Central Bank, the Translation Centre for the Bodies of the European Union, the European Economic and Social Committee, the Committee of the Regions and the European Court of Auditors regarding the inter-institutional exchanges of staff of the language services of the EU institutions and bodies

Brussels, 5 July 2012 (joint cases 2011-0560 and 2011-1029)

1. Proceedings

On 6 June 2011, the European Data Protection Supervisor (EDPS) received a notification for prior checking relating to the processing of personal data regarding inter-institutional exchanges of AD and AST staff of the language services of the EU institutions and bodies from the Data Protection Officer (DPO) of the European Commission (EC).

Further information on the intention of submitting a notification allowing for a joint Opinion and some clarifications were requested from the other seven EU institutions and bodies participating in the exchange scheme on 12 July 2011 and the last reply was received on 1 June 2012¹; the reply by the Council of the European Union (Council) was registered with case number 2011-1029 and subsequently joined with case 2011-0560.

The draft Opinion was sent to the DPOs for comments on 19 June 2012. The EDPS received replies on 26 and 27 June 2012 as well as on 2 July 2012.

2. The facts

The exchange scheme serves "to exchange information and experience" and covers the interinstitutional exchange of AD and AST staff between the language services of the following eight EU institutions and bodies: the EC's Directorate-General for Translation (DGT), the Council, the European Parliament (EP), the European Central Bank (ECB), the Translation Centre for the Bodies of the European Union (CdT), the European Economic and Social Committee (EESC), the Committee of the Regions (CoR) and the European Court of Auditors (ECA) (henceforth: "the participating institutions and bodies"). The purpose of the respective data processing is "to collect applications from staff to select those who may take part in the exchanges scheme" and "to complete the assessment file for the period of the exchange, upon request of the staff member concerned..."

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 $^{^1}$ The EP replied on 12/8/11, the ECA on 17/8/11, the EESC on 16/9/11 and 23/9/11, the CoR on 27/9/11, Council on 11/11/11 and 2/12/11, the ECB on 21/5/12 and the CdT on 1/6/12. The EC provided further clarifications on 23/8/11.

² See the "Report of the project group on inter-institutional exchanges" of 1 December 2009, p. 2.

³ For the **ECB**, Article 8 of the ECB's Administrative Circular 01/2008 regarding *Rules on Secondment of Members of Staff for External Work Experience* additionally notes that "For the purpose of the appraisal, the secondment for external work experience shall be considered as working time at the ECB". For the **Council**, the exchange scheme serves the specific purpose of offering translators and translation assistants' opportunities for further training and allowing them to acquire experience in a different environment.

The selection process foresees that "CVs of staff are received...from the concerned institutions", data subjects are all candidates applying for the scheme at the selection stage as well as, with regard to the assessment procedure, those who are selected and take part in the scheme.

The **legal basis** of the exchange scheme is a Decision of the Inter-institutional Committee for Translation (ITC, the forum for cooperation between the language services of the European Union institutions and bodies) reflected in the following documents:

- Minutes of the Executive Committee on Translation's (ECT) meeting of 1 December 2009 (ECT 09-032) and
- Report of the project group on inter-institutional exchanges of 1 December 2009 (CCT 09-007 Ver. 2 / ECT 09-007 Final).

For the **ECB**, an additional legal basis for the secondments is Administrative Circular 01/2008 regarding *Rules on Secondment of Members of Staff for External Work Experience*.

The processing **procedure** is at least partly carried out electronically, for most participating institutions and bodies with the creation and transmission of electronic application files (Excel files based on paper or electronic application forms) and selection files. For all participating institutions and bodies, personal data eventually form part of the structured filing system allowing for the inter-institutional selection of participants.

The procedure consists of two phases:

- **Selection phase**: To apply, candidates react to a call for application for the exchange scheme published on intranet pages of the participating institutions and bodies by sending in a CV (obligatory) as well as an application form, which includes at least certain **categories of personal data** (name, date of birth, grade, the unit of assignment at the home institution or body and the targeted host institution or body -language departments / units requested)⁴.
- During the selection process operated by the HR unit and the units/language departments of the participating institutions and bodies, the applicants' CVs are sent to the person responsible in each of the participating institutions and bodies concerned. A list of selected candidates is then sent to all institutions and bodies concerned.
- Assessment phase: At the end of the exchange period, the head of the host unit or division draws up an assessment report ("appreciation of host Head of Unit"). This report is presented to the participant and countersigned by him/her (obligatory). The participant may also record his/her comments on the report. A copy of the "appreciation of host Head of Unit" is sent via the HR unit of the home institution or body to the hierarchical superior/line manager of the participant⁵.

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⁴ For the **Council** additionally: date and grade of entry into service, known languages, education/training ("formation"), professional experience, (possible) specialisations, "regime de travail" (full time, part time). For the **CdT** additionally: date and grade of entry into service, contact details, working languages, trainings, professional experience, eventual specialisations.

⁵ At the **EP**, the DG Translation HR unit does not forward the report drawn up by the head of the host unit in the Commission, the TC or the CoA to the line manager of the participant in Parliament. Rather, a copy is transmitted to the immediate superior in the host service, via the responsible service and the HR unit receives the report drawn up by the head of the host unit in Parliament, sends it to the Director concerned in Parliament and to the HR unit in the participant's home institution. The call for applications of January 2011 notes in this respect: "At the end of the exchange the head of the host unit draws up a brief assessment report. This report is presented to the official who shall countersign it. The official may also record his/her comments in the report, which may be forwarded to his/her personal file. A copy is transmitted to the immediate superior via the responsible service in the host service." ("A l'issue de la session, un bref rapport d'évaluation est établi par le

- For staff from most participating institutions and bodies, the participant can choose to include this report in his/her personal file: The assessment file for the period of the exchange is only completed by the "appreciation of host Head of Unit" upon request of the participant concerned, should he/she decide that it is to be considered in the framework of the annual assessment exercise.
- For the **Council**, it is not left to the participant to decide whether the appreciation of the host HoU is to be considered in the framework of the annual assessment exercise, as the exchange scheme serves the specific purpose of offering translators and translation assistants' opportunities for further training and allowing them to acquire experience in a different environment. In this regard, Council relies on Article 24a of the Staff Regulations stating that "Such training and instruction shall be taken into account for purposes of promotion in their careers".
- For the **ECB**, the use of the report in the context of the ECB's annual appraisal exercise is obligatory and therefore not left to the discretion of the seconded staff member. Under Article 10 of the ECB's Administrative Circular 01/2008 regarding *Rules on Secondment of Members of Staff for External Work Experience*, the seconded staff member additionally draws up a separate "back-to-office" report on the basis of a standard questionnaire⁶, which "shall include a summary of the main responsibilities and accomplishments during the assignment, as well as a description of the relevant specific experience acquired..." and its use in the context of the ECB's annual appraisal procedure is equally obligatory. Article 8 of the ECB's Administrative Circular 01/2008 regarding *Rules on Secondment of Members of Staff for External Work Experience* under the heading of "Performance assessment" notes in this respect that "For the purpose of the appraisal, the secondment for external work experience shall be considered as working time at the ECB".

Recipients include the Human Resource Managers of the participating institutions and bodies, who may delegate access to Heads of Unit in their Directorate General for the purpose of selection and reporting as well as the participant's hierarchical superior/line manager at the home institution/body.

As the **right to access and the right to rectify data**, a privacy notice made available to applicants mentions that:

- During the selection procedure, each data subject has the right to access and the right to rectify data concerning him/her upon request before the deadline for application elapses. After this deadline has elapsed, the latter is limited to the rectification of identification details and contact information;
- Data on the assessment of the performance of the participant during the exchange can be modified or erased at any moment after transmission of the respective report to the hierarchical superior/line manager and the participant concerned. The participant can also record his/her comments on the report.

Right of information: The call for applications for the Exchanges Scheme published on intranet pages of the participating institutions and bodies is accompanied by the following information:

chef de l'unité ou de la division d'accueil. Ce rapport est présenté au fonctionnaire et contresigné par lui. Le fonctionnaire peut également consigner ses observations sur le rapport, qu'il pourra verser à son dossier personnel. Une copie est transmise au supérieur hiérarchique par l'intermédiaire du service de l'institution d'accueil, responsable des échanges.")

⁶ At the **Council**, a *non-obligatory* standardised questionnaire can be filled in by the participant ("*Questionnaire* à remplir par le candidat pour évaluer l'échange").

- reference to Regulation (EC) No 45/2001;
- identification of the data controller;
- indication of the purpose of the data processing;
- information on the data recipients;
- information on the rights of access and rectification;
- some information on the retention policy and
- a reference to the right of data subjects to have recourse at any time to the EDPS.

The **retention period** for most participation institutions and bodies is 12 months. Files of non-selected candidates (CV and application form) are deleted within 6 months. However, some details may be kept longer for the reporting need at the end of the year, but at any rate no more than 12 months.

- The **CdT** automatically retains files (CV and application form) of non-selected candidates for consideration in the next exchange cycle, unless the applicant requests otherwise. This is explicitly mentioned in a "Specific Privacy Notice" made available to applicants.
- The **CdT** also retains personal data collected in the framework of reporting of the exchange for a maximum of 3 years following the end of the exchange in question.
- The **Council** applies a retention period of 18 months after the end of the exchange period, after which the data is either deleted or rendered anonymous for analytical or statistical use.

[...]

3. Legal analysis

3.1. Prior checking

Applicability of Regulation (EC) No 45/2001 ("the Regulation"): The processing of data under analysis allows for the identification of individual staff members and consequently encompasses "information relating to an identified or identifiable natural person" in the sense of Article 2 (a) of the Regulation. The data processing is performed by several EU institutions and bodies "to exchange information and experience" for staff, i.e. in the exercise of their activities falling within the scope of Union law. The processing is mostly done electronically, with the creation and transmission of electronic application and selection files; where processing is manual, it forms part of a filing system.

Grounds for prior checking: Article 27 (1) of the Regulation subjects to prior checking by the EDPS all "processing operations likely to present specific risks to the rights and freedoms of data subjects by virtue of their nature, their scope or their purposes". Article 27 (2) of the Regulation contains a list of processing operations that are likely to present such risks, including "...(b) processing operations intended to evaluate personal aspects relating to the data subject, including his or her ability, efficiency and conduct...".

The processing of data in the **selection** phase aims at determining whether a particular applicant is eligible to participate in the exchange scheme and thus serves to evaluate his/her ability in the sense of Article 27 (2)(b) of the Regulation.

Where the **assessment** file is completed for the exchange period to allow for the consideration of the "appreciation of host Head of Unit" in the context of the annual assessment exercise, this involves a processing operation intended to evaluate personal aspects relating to the data subject, including his or her ability, efficiency and conduct in the sense of Article 27 (2)(b) of the Regulation.

The specific case thus qualifies for prior checking under Article 27 (2) (b) of the Regulation.

Since prior checking is designed to address situations that are likely to present certain risks, the Opinion of the EDPS should be given prior to the start of the processing operation. In this case however the processing operation has already been established, as there have been exchanges of translators since September 1992 and as from 2010, the exchange scheme was also open to translation assistants. In any case, recommendations made by the EDPS may still be adopted accordingly.

The notification of the DPO was received on 6 June 2011. According to Article 27(4) of the Regulation, the present Opinion must be delivered within a period of two months. The procedure was suspended for a total of 333 days to require additional information and to allow for comments from the data controllers. Consequently, the present Opinion must be delivered no later than on 5 July 2012.

3.2. Lawfulness of the processing

Article 5 of the Regulation stipulates criteria for making processing of personal data lawful. This includes under **Article 5(a) of the Regulation** that the "processing is necessary for performance of a task carried out in the public interest on the basis of the Treaties establishing the European Communities or other legal instruments adopted on the basis thereof or in the legitimate exercise of official authority vested in the Community institution or body". The processing of personal data for performance of tasks carried out in the public interest includes "the processing necessary for the management and functioning of those institutions and bodies" (Recital 27 of the Regulation) ⁷.

The general legal basis of the exchange scheme at hand is a Decision of the Inter-institutional Committee for Translation (ITC). The ITC is the forum for cooperation between the language services of the EU institutions and bodies, which perform a task carried out in the public interest. The exchange scheme established by the ICT serves "to exchange information and experience". For the **ECB**, an additional legal basis for the secondments is Administrative Circular 01/2008 regarding *Rules on Secondment of Members of Staff for External Work Experience*, which in its Article 1 refers to "the secondment of ECB members of staff for external work experience...to enable this member of staff...to acquire relevant work experience in and knowledge of the structures and working methods of the host organisation...".

The possibility for staff of the participating institutions and bodies to participate in the exchange scheme thus contributes to the performance of the language services by making the respective information and experience available to staff on an inter-institutional basis. The data processing during the **selection phase** of the exchange scheme thus fulfils the condition of necessity under Article 5(a) of the Regulation.

As far as the processing of personal data in the context of the assessment phase of the exercise is concerned.

• For most participating institutions and bodies, the assessment file for the period of the exchange is only completed by the "appreciation of host Head of Unit" upon request of the staff member concerned, should he / she decide that it is to be considered in the framework of the annual assessment exercise. For most participating institutions and bodies, it is consequently only processed where the data subject has unambiguously given his or her consent in the sense of **Article 5(d) of the Regulation.**

⁷ See p.2 of the Guidelines concerning the processing of personal data in the area of staff evaluation, http://www.edps.europa.eu/EDPSWEB/webdav/site/mySite/shared/Documents/Supervision/Guidelines/11-07-15 Evaluation Guidelines EN.pdf .

Considering that according to the notification "A copy is sent to the hierarchical superior in order to be considered for the annual evaluation purposes", the EDPS nonetheless recommends that a procedure is set up to ensure that staff members concerned actually get to exercise this choice, i.e. to "decide that it is to be considered in the framework of the annual assessment exercise" - or not, as the case may be.

- For the **Council**, it is not left to the participant to decide whether the appreciation of the host HoU is to be considered in the framework of the annual assessment exercise, as the exchange scheme serves the specific purpose of offering translators and translation assistants' opportunities for further training and allowing them to acquire experience in a different environment. In this regard, Council relies on Article 24a of the Staff Regulations stating that "Such training and instruction shall be taken into account for purposes of promotion in their careers". Under such circumstances, the appreciation by the host HoU in the framework of the annual assessment exercise thus amounts to a "processing necessary for the performance of a task carried out in the public interest on the basis of the Treaties".
- For the **ECB**, the use of the "appreciation of host Head of Unit" as well as the "back-to-office" report in the context of the ECB's annual appraisal exercise is obligatory under Articles 8 and 10 of the Administrative Circular 01/2008 regarding *Rules on Secondment of Members of Staff for External Work Experience*. This use does not directly contribute to gaining "...external work experience...to enable this member of staff...to acquire relevant work experience in and knowledge of the structures and working methods of the host organisation..." in order to make such experience available on an inter-institutional basis. However, the ECB has defined a purpose of this use in Article 8 of the ECB's Administrative Circular 01/2008 regarding *Rules on Secondment of Members of Staff for External Work Experience*, which notes in this respect that "For the purpose of the appraisal, the secondment for external work experience shall be considered as working time at the ECB" (emphasis added). The purpose of the use of the reports by the ECB is thus to ensure compliance with the regime of internal appraisals in force at the ECB. The data processing therefore does fulfil the condition of necessity under Article 5(a) of the Regulation.

3.3. Data Quality

Adequacy, relevance and proportionality: According to Article 4 (1)(c) of the Regulation, personal data must be "adequate, relevant and non excessive in relation to the purposes for which they are collected and/or further processed".

- The EDPS considers that the mandatory information that applicants need to provide in the context of the **selection procedure** are adequate and relevant in relation to the purposes of their intended use. Indeed, in order to determine whether an applicant is eligible for participation in the exchange scheme, the different actors on behalf of the participating institutions and bodies must know for instance the years of experience and areas of expertise of the applying staff in order to be able to select those candidates most suitable for an exchange with the targeted host institution or body and to ensure that information and experience is shared in the most efficient and broadest way.
- As regards the data processed during the **assessment phase**, there is nothing to suggest that the information contained in the "appreciation of host Head of Unit" sent via the HR unit of the home institution or body to the hierarchical superior/line manager of the participant goes beyond what is adequate and relevant in relation to the purposes of its intended use, i.e. the completion of the assessment file for the period of the exchange

upon request of the staff member concerned; the same is true for any "back-to-office" report drafted by the participants themselves⁸.

The EDPS considers that both phases of the processing in question comply with Article 4(1)(c) of the Regulation.

Accuracy: The personal data collected in the context of the **selection procedure** are provided by the data subjects themselves and the applicants have a right of access to their data (see also Section 3.6 on "Right of access and rectification"). As regards the **assessment phase**, the participant may record his/her comments the "appreciation of host Head of Unit" and any "back-to-office" report is drafted by the participants themselves. This ensures that the data processed in both phases of the scheme are accurate, complete and up to date in the sense of Article 4(1)(d) of the Regulation.

3.4. Conservation of data/ Data retention

Under Article 4 (1)(e) of the Regulation, personal data must be kept in a form which permits identification of data subjects for not longer than is necessary for which the data are collected and/or further processed.

The EDPS notes that the retention period of 12 months and 6 months for files (CV and application form) of non-selected candidates as well as the retention of some details for the reporting need at the end of the year (no more than 12 months) applied by most participating institutions and bodies does not raise concerns. In the light of this 12 months retention period, the same is true as regards the automatic retention by the **CdT** of files (CV and application form) of non-selected candidates for consideration limited to the *next* exchange cycle. However, the EDPS recommends defining the starting point of the retention periods of 12 months and 6 months respectively.

- The **Council** applies a retention period of 18 months after the end of the exchange period, after which the data is either deleted or rendered anonymous "for analytical or statistical use". The EDPS recommends that the Council align its retention period with the one applied by the other participating institutions and bodies and ensure that data, once rendered anonymous, is not used "for any purpose other than for historical, statistical or scientific purposes" as stipulated in Article 4(1)(e) of the Regulation.
- The **CdT** retains personal data collected in the framework of reporting of the exchange for a maximum of 3 years following the end of the exchange in question. The EDPS recommends that the CdT align its retention period with the one applied by the other participating institutions and bodies.

3.5. Transfer of data

According to the notification, only internal transfers to other EU institutions or bodies under Article 7 of the Regulation take place and the EDPS has no reason to doubt that the data transfers within or between the different actors listed above for the purposes described in the facts above comply with Article 7(1) of the Regulation. However, the EDPS recommends that in accordance with Article 7(3) of the Regulation, each of the recipients is explicitly reminded that they should process the personal data they receive only for the purpose for which they were transmitted. In particular the hierarchical superior/line manager at the home institution/body of the participant should be reminded that the assessment file for the period of the exchange is only completed by the "appreciation of host Head of Unit" upon request of the staff member concerned.

3.6. Right of access and rectification

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⁸ See above Section 3.2 on the mandatory use of both documents at the ECB and its lack of necessity.

Article 13 of the Regulation provides for a right of access and sets out the modalities of its application following the request of the data subject concerned. Article 14 of the Regulation provides that "the data subject shall have a right to obtain from the controller the rectification without delay of inaccurate or incomplete personal data". For information on the rights to access and rectification for the two phases of the procedure as mentioned in the privacy notice made available to applicants, see above Section 2.

As regards the right of access, the EDPS recalls that candidates should also be able to have access to their entire file, comprising their individual results of the analysis of qualifications and competences as established by the different actors involved in the evaluation under the selection procedure. In analogy to what was highlighted by the EDPS Guidelines on staff recruitment⁹, candidates for the exchange scheme should be given access to their evaluation results regarding all stages of the selection procedure.

Article 20 (1) (c) of the Regulation provides for an exception to the principle of access by stating that "The Community intuitions and bodies may restrict the application of Articles 13 to 17 (...) where such restriction constitutes a necessary measure to safeguard the protection of the data subject or of the rights and freedoms of others". This exception may imply that certain information comparing the data subject with other candidates should not be provided and no information should be given regarding the individual evaluation as established by the different actors involved. However, as concerns applicants, the EDPS highlights that in the context of this data processing, the applicants' right of access to their individual results of the analysis of qualifications and competences concerning them should not be restricted more broadly than it is necessary under Article 20 (1)(c) of the Regulation. Granting the right of access enables applicants to see which elements were taken into account for the overall evaluation and to see that the actors involved in the selection procedure have acted fairly and objectively. Any restriction to the right of access to such information on the basis of Article 20(1)(c) of the Regulation should therefore be applied restrictively.

As to the protection of the individual opinions of the different actors in the selection procedure, it should be ensured that access is not restricted more broadly that it is justified on grounds of safeguarding the confidentiality of the deliberations and decision-making of the actors involved. It should be noted that the principle of confidentiality cannot be prejudiced if the criteria according to which an individual applicant has been evaluated regarding his/her qualifications and competences is disclosed in a transparent manner to applicants.

In the light of the above, the EDPS recommends that procedures are set up to ensure that applicants have access to their own personal data throughout the selection procedure; this right of access may be limited on the basis of Article 20(1)(c) of the Regulation only in cases where this is absolutely necessary, namely no disclosure of comparative results when this is necessary to protect others and no disclosure of individual opinions of the actors involved in the selection procedure in order to protect the independence of these actors. In such cases, data subjects should be informed of the principal reason for restricting the right of access and the right of recourse to the EDPS, in accordance with Article 20(3) of the Regulation.

3.7. Information to the data subject

Articles 11 and 12 of the Regulation provide for certain information to be supplied where the data have been obtained from the data subject (e.g. the CV submitted) and where the data have not been obtained from the data subject (e.g. the "appreciation of host Head of Unit") respectively. The EDPS notes that applicants are informed at the time of the processing of

⁹ http://www.edps.europa.eu/EDPSWEB/webdav/site/mySite/shared/Documents/Supervision/Guidelines/08-10-10_Guidelines_staff_recruitment_EN.pdf.

most of the elements provided in Articles 11 and 12 of the Regulation by means of information published on intranet pages together with the call for applications for the exchange scheme and a privacy notice. The EDPS further notes that.

- Except for the **CdT**, no information about the legal basis of the processing operation for which the data are intended is given;
- Although this information is published on intranet pages together with the call for applications, the privacy notice, under the section "What are the data collected", does not refer to the CV, although its submission is mandatory; and
- Not all recipients, i.e. the participating institutions and bodies other than the host institution/body, are listed.

The EDPS recommends that applicants should additionally be informed in the privacy notice about the procedures in place for granting access to their individual evaluation results upon request and any limitation thereof. The EDPS further recommends that applicants should be informed in the privacy notice about the legal basis of the processing operation (not applicable to the CdT), about the fact that a CV is part of the data collected and comprehensively about all recipients of these data.

[...]

4. Conclusion

There is no reason to believe that there is a breach of the provisions of Regulation 45/2001 provided that the considerations contained in this Opinion are taken into account. In particular, the participating institutions and bodies must:

- As regards the "appreciation of the host Head of Unit", set up a procedure allowing staff members concerned to ensure that they get to "decide that it is to be considered in the framework of the annual assessment exercise" or not;
- Define the starting point of the retention periods;
- Remind each of the recipients that they should process the personal data they receive only for the purpose for which they were transmitted, where personal data is transmitted to another participating institution or body, in accordance with Article 7 (3) of the Regulation. In particular the hierarchical superior/line manager of the participant should be reminded that the assessment file for the period of the exchange is only completed by the "appreciation of host Head of Unit" upon request of the staff member concerned, should he / she decide that it is to be considered in the framework of the annual assessment exercise;
- Set up procedures ensure that applicants have access to their own personal data throughout the selection procedure;
- Inform applicants about the procedures in place for granting access to their individual evaluation results upon request and any limitation thereof;
- Inform applicants in the Privacy Statement about the legal basis of the processing operation for which the data are intended (not applicable to the **CdT**), about the fact that a CV is part of the data collected and comprehensively about all recipients of these data.
- The **Council** and the **CdT** must align their retention period with the one applied by the other participating institutions and bodies. The **Council** must further ensure that data, once rendered anonymous, is not used "for any purpose other than for historical, statistical or scientific purposes" as stipulated in Article 4(1)(e) of the Regulation.

Done at Brussels, 3 July 2012

(signed)

Giovanni BUTTARELLI Assistant European Data Protection Supervisor