Reference number	Name of processing operation	Description of processing operation	Controller	DPO	Joint controller(s) (where applicable)	Processor(s)	Purpose of the processing operation	Categories of data subjects	Categories of data processed and special categories of data (where applicable)	Legal basis, lawfulness of processing operation and derogation to the processing of special categories of personal data (where applicable) (*) Regulation (EC) No 45/2001 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the processing of personal data by the Community institutions and bodies and on the free movement of such data has been repealed and replaced by a new Regulation 2018/1725 that entered into force on 11/12/2018. To the greatest of possible extend, references are made to the articles of the new Regulation.	Restrictions of data subject rights (where applicable)	Recipients of the data	Retention policy	Transfer to third countries or IO? Identification of that third country suitable safeguard	Security measures	Last updated & internal reference	Privacy notice published in the S2R JU web site (YES/NO)
PO-1 Human Resources																	
PO-1-01	**Selection and recruitment of temporary agents (TA), contract agents (CA), seconded national experts (SNE), interims staff and trainees.** More information available in the privacy notice published in the S2R web site : https://shift2rail.org/about-shift2rail/jobs/	Collecting applications of candidates, screening tables, pre-selection reports, selection reports, written tests, interview questions, offers for posts, short lists, reserve lists, reserve list letters, negative letters etc.	S2R JU (contact: Mr Carlo Borghini, Executive Director);	Isaac GONZALEZ GARCIA (Data-Protection@s2r.europa.eu)	European Commission, in particular the DG Human Ressources and Security, the Office for Administration and Payment of Individual Entitlements (PMO) and DG EAC	RANDSTAD (interim work agency)	Data are processed for the purpose of organising the selection and recruitment procedures for TA, CA, SNE, interims staff and "EU Blue Book Trainees" at the S2R JU.	1. Candidates applying for open S2R JU vacancies (TA, CA, and SNE) 2. Trainees recruited by the European Commission ("EU Bluebook trainees") 3. Interim staff selected via an external contractor on behalf of the European Commission.	1. Data allowing the candidates' identification.: Name, Surname, Nationality, Date and Place of birth, e-mail, telephone and fax number, address; 2. information provided by the candidate allowing evaluating his/her compliance with the requested selection criteria established by the vacancy notice, in particular curriculum vitae in European CV format and motivation letter; 3. Supporting documents confirming academic and professional data (i.e.: copies of diplomas, year of acquisition, field of studies, proof of professional experience, language competencies); 4. If applicable results of the pre-selection or written/oral tests. **Special categories of data** : data related to health (in particular medical certificates) and data regarding criminal records. The analysis of those documents are carried out on a case by case basis so that only relevant data are processed in the light of the Staff Regulation's requirements.	**Lawfulness of the processing of personal data:** performance of a task carried out in the public interest and performance of a contract to which the data subject is party (article 5 a) and c) of Regulation 2018/1725). **Specific legal bases:** Regulation 642/2014 establishing the S2R JU Articles 6, 7 and 10 and Article 10 of the S2R Statutes. EU Staff Regulation: Articles 12 - 15 and 82 - 84, 86 of the Conditions of Employment of other servants of the European Communities (CEOS). Service Level Agreements signed between the S2R JU and the European Commission (DG HR) and the PMO S2R JU Implementing Rules 1. For TA: S2R JU Governing Board (GB) Decision N° 7-2015 of 17 July 2015 related to general implementing provisions on the procedures governing the engagement and the use of temporary agents. 2. For the Trainees: GB decision 21/2016 of 25 October 2016 laying down the rules on the use of trainees in the Shift2Rail Joint Undertaking and Service Level Agreement signed on 7 December 2016 with the European Commission (DG Education and Culture). 3. For the SNE: GB decision 20/2016 of 25 October 2016 laying down rules on the secondment of national experts and national experts in professional training to the Shift2Rail Joint Undertaking. 4. Interim Staff : S2R JU currently uses the Framework contract HR/R3/PR/2014/078 signed by the European Commission (DG Human Resources and Security) with an external contractor. **Derogation to process special categories of data:** a. health data: art. 10 §2 (b) Regulation 2018/1725 (processing necessary for exercising specific controller rights/obligations under employment, social security or social protection law). b. criminal records: art. 11 Regulation 2018/1725 (processing under control of official authority or when the processing is authorised by Union law, in particular Article 137 (3) of the EU Financial Regulation).	N/A	1. The appointed selection committee 2. The S2R JU Human Resources Officer 3. The S2R JU Executive Director, as the authority empowered to conclude contracts of employment 4. The S2R JU DPO (only for the purposes of replying to access requests or other consultations on data protection aspects from the HR Officer) 5. Regarding Trainees, the Traineeship office of DG EAC provides the S2R JU with administrative assistance on the basis of a Service Level Agreement, specifying that the Traineeship office commits to fulfilling the requirements of Regulation (EC) n°45/2001 on data protection. 6. Regarding interim staff, the proposed CVs are forwarded by interim agency "RANSTAD" under a European Commission's (DG HR) Framework contract to the S2R JU Human Ressources Officer in order to find the best-suited candidate. 7. The European Commission (PMO), in line with provisions concerning the reimbursement of travel costs for TA, CA and SNE. 8. Relevant services in DG HR and SECURITY in charge with the provision of badges allowing access to EU Buildings and in charge of the creation of an IT account.	N/A	Recruited candidates (TA, CA and SNE positions): 10 years as of the termination of employment and/or after the extinction of all rights of the person concerned and of any dependents. Non-recruited candidates (TA, CA and SNE applicants): 2 years following the recruitment procedure is terminated or the establishment of the reserve list by the selection committee. Regarding the Bluebook trainees: S2R JU is not in charge of the recruitment process which is being dealt with by the relevant department at the European Commission (DG EAC). Applications are only accessible via the online database which is open for consultation only during specific periods. Therefore, S2RJU does not store any data related to the recruitment of Bluebook Trainees. Regarding the selection, the data are kept only for the duration of the mission (normally six months). Regarding the spontaneous applications, personal data (i.e.: CV) are not kept and are destroyed automatically after seven days. In case of appeal: until the termination of all appeals. Criminal record: police record and/or certificate of good conduct are returned to the person immediately after the selection and possible recruitment or not.	N/A	Human Ressources electronic data is stored on S2R JU share drive in the HR Folder with restricted access rights. For the selection and recruitment procedures, hard copies and supporting documents are distributed to the appointed Selection Committee only for the recruitment phase and purposes. Once the procedure has been closed, the selection committee is requested to erase all electronically stored data. Only paper files concerning selected candidates are stored in a security locked cupboard. Members of selection panels sign a declaration of confidentiality and absence of conflict of interest and are required to implement the appropriate technical and organisational measures to ensure a level of security appropriate to the risks represented by the processing and the nature of the personal data to be protected. Medical and health data are stored in a secured IT database (Joint Sickness Insurance Scheme) managed by the PMO. The HR officer who is responsible for processing information related to the staff members' health status process them in accordance with the principles of medical confidentiality. The S2R JU IT tool for leaves management Information System for Absences (ISA) (i.e: annual leave, teleworking arrangements, flexitime) is maintained by Intrasoft, external contractor who process personal data via a dedicated contractual clause. !!	29/01/2019 Ares(2019)502384 7	Y
PO-1-02	**Occupational health and medical data**	Procedures put in place to ensure safety, health and welfare of S2R JU staff. Pre-recruitment medical examination; Annual and periodic medical examination	S2R JU (contact: Mr Carlo Borghini, Executive Director)	Isaac GONZALEZ GARCIA (Data-Protection@s2r.europa.eu)	European Commission, in particular the DG Human Ressources and Security (Medical service) and Administration and Payment of Individual Entitlements (PMO).	EC external service providers S2R JU has NOT concluded contracts with external medical centres	Ensure that S2R JU staff complies with requirements of pre-recruitment, annual and periodic medical examination.	JU staff: temporary and contractual staff; family members of the S2R JU staff (i.e: determination of place of origin).	1. identification data: names of the staff member or his/her relatives, other identification data can be required depending on the situation (e.g. address, phone, number, staff member number, family composition, etc.); 2. Health data: medical visits aptitude certificate (pre-recruitment aptitude certificates only).No information is provided about the diagnosis nor about the content.	**Lawfulness of the processing operation:** performance of a task carried out in the public interest (article 5(a) of Regulation 2018/1725) **Specific legal basis:** 1. EU Staff Regulation: Articles 28-33 (pre- recruitment medical examination) and 59 (annual medical visits, specific medical check-ups and medical certificates) 2. CEOS: Articles 12(2)d), 13(2) and 82(3). 3. Service Level Agreements signed between the S2R JU and the European Commission (DG HR) and the PMO **Derogation to process special categories of data:** a. health data: art. 10 §2 (b) Regulation 2018/1725 (processing necessary for exercising specific controller rights/obligations under employment, social security or social protection law).	N/A No specific restrictions in place at S2R JU. The medical files are kept at the Commission's medical services. Ground for a restriction: in a case-by-case and in order to restrict access to medical data of psychological or psychiatric nature, and given the potential sensitivity of some of these data, the EC medical service may want to give the data subject indirect access through his or her own practitioner.	1. The administrative staff responsible for processing the files 2. The European Commission, in particular the DG Human Resources and Security (Medical service) 3. The Office for Administration and Payment of Individual Entitlements (PMO)	N	S2R JU does not collect medical certificates of staff members. These are directly sent to the medical service of the European Commission in accordance with the procedure established. Pre-recruitment aptitude certificates are kept in the personal files for a maximum period of 10 years after the end of the period during which the staff member is in active employment or the last pension payment. Maximum retention period for administrative health data is 3 years except if a dispute and appeal is underway; Maximum retention period for medical data of non-recruited candidates is the period for challenging the data.		10/12/2018	N
PO-1-03	**Staff evaluation**	Staff appraisal, probationary reports, reclassification of contract and temporary agents, renewal of contracts	S2R JU (contact: Mr Carlo Borghini, Executive Director)	Isaac GONZALEZ GARCIA (Data-Protection@s2r.europa.eu)	NA	NA	The performance with regard to the job specifications and defined objectives; the potential and development or reclassification needs.	JU staff: temporary and contractual staff	Data regarding the staff's identification number, their identity, date and place of birth Data regarding staff recruitment and work contracts (grade, starting date, function) Data regarding accomplished tasks (description of tasks) Data regarding linguistic competencies and professional background Data regarding the evaluation for the concerned timeframe (assessment and comments) In the framework of the probation procedure, data concerning health may be processed, namely in case of its extension due to a maternity and/or sick leave as provided for in Article 34(1) of the Staff Regulations. The analysis of those documents are carried out on a case by case basis so that only relevant data are processed in the light of the Staff Regulation's requirements.	**Lawfulness of the processing of personal data :** performance of a task carried out in the public interest (article 5 a) of Regulation 2018/1725) **Specific legal basis:** EU Staff Regulations Staff Regulations (Articles 34, 43, 45 – 46, as well as Article 10(2) of Annex XIII), the Conditions of Employment of Other Servants (Articles 14, 81, 84 and 87) S2R JU Implementing Rules : 1. Articles 6 and 7 of Council Regulation (EU) No 642/2014 establishing the S2R JU - Decision N° 9/2015 of the Governing Board implementing Article 43 of the Staff Regulations and implementing the first paragraph of Article 44 of the Staff Regulations for Temporary Agents (Aggrasial TA) - Decision N° 10/2015 of the Governing Board implementing Article 87(1) of the Conditions of Employment of Other Servants of the European Union and implementing the first paragraph of Article 44 of the Staff Regulations (Aggrasial CA) - Decision N° 11/2016 of the Governing Board implementing Article 54 of the CEOS (Reclassification TA) - Decision N°12/2016 of the Governing Board implementing Article 87 (3) of the CEOS (Reclassification CA) **Derogation to process special categories of data:** a. health data: art. 10 §2 (b) Regulation 2018/1725 (processing necessary for exercising specific controller rights/obligations under employment, social security or social protection law).	N/A	The HR officer and other S2R JU Line Managers. In case of reclassification, the staff and joint reclassification committees.	Data will be retained for a maximum of 10 years after the termination of the employment or the last pension payment.	N/A		10/12/2018	N
PO-1-04	**Personal files of staff**	Collection of staff documentation for recruitment, determination of rights, career development, appraisal.	S2R JU (contact: Mr Carlo Borghini, Executive Director)	Isaac GONZALEZ GARCIA (Data-Protection@s2r.europa.eu)	European Commission, in particular the DG Human Resources and Security (Medical service)	NA	Staff data for employment contract, setting up rights	JU staff: temporary staff, contract staff	Documents related to the application (CV, motivation letter, diplomas, certificates of employment), personal documents such as: copy of passport or ID, probationary reports and annual appraisals, determination of rights, social security/pension, training, various (legal entity forms, documents related to reimbursement of expenses, etc.).	**Lawfulness of the processing operation**: art. 5 (a) Regulation 2018/1725: performance of a task carried out in the public interest **Specific legal basis:** CEOS: Articles 12 (2) d) and 82 (3) d). Service Level Agreements signed between the S2R JU and the European Commission (DG HR) and the PMO	N/A	S2R JU HR officer, Line Manager If appropriate, specific and limited information may be given to members of S2R's Finance team (for reimbursement purposes), the European Commission (internal Audit Service, Medical service) and the PMO.	Data will be stored up to 10 years after the extinction of all rights of the staff member concerned (i.e: is in active employment or the last pension payment) and of any dependents.	N/A		10/12/2018	
PO-1-05	**Leaves**	Assessing the entitlement to sick leave, annual leave and special leave and working conditions for temporary agents and contract agents	S2R JU (contact: Mr Carlo Borghini, Executive Director)	Isaac GONZALEZ GARCIA (Data-Protection@s2r.europa.eu)	European Commission, in particular the DG Human Resources and Security (Medical service)	Intrasoft Int'l' (external contractor under Framework service contracts RTD/IT-HORIZON 2020-2013-12-01-00 and 2016/RTD/A/PP-0993-2016)) for the personal data processed on behalf of the S2R JU related to the development and maintenance of the IT tool "Information System for Absences" (ISA) .	Personal data is managed and collected for the purpose of assessing the entitlement to sick leave, annual leave and special leave and working conditions for temporary agents and contract agents	JU staff: temporary staff, contractual staff. External staff: trainees and interim staff	Requests for annual leave, special leaves (maternity, sick leave, personal grounds, medical consultation, ...) Data related to the justification of the special leave may be processed (e.g.: adoption of a child, death of family members, exam/competitions, marriage, etc.) as well as data related to health (in particular medical certificates) in case of sick certificates. The analysis of those documents are carried out on a case by case basis so that only relevant data are processed in the light of the Staff Regulation's requirements.The medical files are kept at the Commission's medical services	**Lawfulness of the processing of personal data** : performance of a task carried out in the public interest (article 5 a) of Regulation 2018/1725). **Specific legal basis:** EU Staff Regulations: Articles 57-60 CEOS: Articles 11, 16, 18, 58, 91 Service Level Agreements signed between the S2R JU and the European Commission,in particular DG HR and PMO S2R JU Implementing rules S2R JU Governing Board decision 6/2015 of 16 July 2015 adopting by analogy EC Decisions including EC Decisions C(2013) 9051 on leave, C(2013) 9046 on part-time work, C(2014) 2502 on working time, C(2010) 7522 on parental leave and (C(2010) 7400 on family leave **Derogation to process special categories of data :** a. health data: art. 10 §2 (b) Regulation 2018/1725 (processing necessary for exercising specific controller rights/obligations under employment, social security or social protection law).	N/A	S2R JU HR Officer; S2R JU Staff Line Manager; European Commission (Medical service); Intrasoft intl	After 3 years for administrative data ; For family leave and leave on personal grounds: entire career of the staff to keep track when the total time granted reaches the maximum permitted. Certain leaves as in the context of credit-time, the retention period is 7 years at most. Data related to financial compensation related to leave (e.g. payment of leave not taken on termination of service and compensated as time-off) are retained for 7 years at most; Personal data in supporting documents should be deleted as soon as they are not necessary for budgetary discharge, control and audit purposes.	N/A		10/12/2018	N
PO-1-06	**Salary**	Producing salary slips, determining allowances, establishment of financial rights, paying the salaries and allowances to S2R JU staff.	S2R JU (contact: Mr Carlo Borghini, Executive Director)	Isaac GONZALEZ GARCIA (Data-Protection@s2r.europa.eu)	European Commission, Office for Administration and Payment of individual entitlements (PMO)	EC medical service (not directly involved but i.e. in case of long term sick leave, the medical service could check if the staff member may not go back to work; another case is in case of accident at work)	In order to determine the staff member's entitlements, some documents need to be filled in by the newcomer (PMO forms). These documents are collected by the HR Officer and sent to the relevant Commission service (PMO) which will process the data in order to determine the financial rights of the staff member.	JU staff: temporary staff, contractual staff, dependents and spouse of JU's staff	Staff member's step and grade, bank account number; Information required for allowances for temporary and contract agents: marital status, number and age of children, spouse or parents (name), place of origin, residence, school of children, previous employment, information related to spouse and parents.	**Lawfulness of the processing of personal data:** performance of a task carried out in the public interest (article 5 a) of Regulation 2018/1725). **Specific legal basis:** 1. EU Staff Regulations : Articles 62-70 2. Service Level Agreements signed between the S2R JU and the European Commission (DG HR) and the PMO 3. S2R JU Implementing rules	N/A	The staff responsible for processing the files: S2R JU HR Officer, Financial team, Executive Director European Commission (Medical service) and PMO	8 years after the extinction of all rights of the person concerned and of any dependents (please confirm).	N/A		10/12/2018	N
PO-1-07	**Teleworking**	Management of the teleworking requests and agreements; planning regarding the ordering of ICT tools and devices for the performance of telework	S2R JU (contact: Mr Carlo Borghini, Executive Director)	Isaac GONZALEZ GARCIA (Data-Protection@s2r.europa.eu)	NA	Intrasoft Int'l' (external contractor under Framework service contracts RTD/IT-HORIZON 2020-2013-12-01-00 and 2016/RTD/A/PP-0993-2016)) for the personal data processed on behalf of the S2R JU related to the development and maintenance of the IT tool "Information System for Absences" (ISA) .	Management of the teleworking requests. Staff members are granted access to an electronic tool in which they can launch a request for teleworking	JU staff: temporary staff, contractual staff	Names, office and teleworking addresses, work programme at home.	**Lawfulness of the processing of personal data:** performance of a task carried out in the public interest (article 5 (a) of Regulation 2018/1725) **Specific legal basis:** 1. Council Regulation (EU) No 642/2014 of 16 June 2014 establishing the Shift2Rail Joint Undertaking , and in particular Article 6 (3) 2. EU Staff Regulation: Article 110(2) 3. S2R JU implementing rules: Governing Board decision 10/2016 of 18 March 2016 on the application by analogy of the implementing rules on telework in Commission Departments C(2015) 9151	N/A	S2R JU staff responsible for processing the files: HR Officer, Line Manager of the staff, Executive Director; Intrasoft intl	Approved requests are kept for 3 years after the end of the teleworking agreement. Rejected requests are stored for a period of 3 years after they were received.	N/A		10/12/2018	N
PO-1-08	**Missions**	Managing missions of the staff ; reimbursement of travel expenses and daily subsistence allowance	S2R JU (contact: Mr Carlo Borghini, Executive Director)	Isaac GONZALEZ GARCIA (Data-Protection@s2r.europa.eu)	European Commission, Office for Administration and Payment of individual entitlements (PMO)	PMO; external contractor American Express (travel agency) for the personal data processed on behalf of the S2R JU.	Collection of contact details and meeting documentation (such as agenda); request form; travel order; request file and reimbursement file.	JU staff: temporary staff, contractual staff; SNEs, Trainees, interim Staff and possibly experts	Contact details, ID/passport number, credit card details, staff number, status, and category/grade, travel details, mobile phone for emergencies.	**Lawfulness of the processing of personal data:** performance of a task carried out in the public interest (article 5 a) of Regulation 2018/1725) **Specific legal basis:** 1. EU Staff Regulation: Articles 11-13 2. S2R JU Implementing rules: Governing Board Decision n° 11-2018 on the application by analogy of the Guide to missions and authorised travel adopted by Commission Decision C(2017)5323 of 27.9.2017	N/A	The administrative staff responsible for processing the files; PMO; American Express (travel agency)	maximum of 7 years after the termination of all delays for appeal and/or budget discharge.	N/A		10/12/2018	N
PO-1-09	**Flexitime Management**	Assessing and managing the entitlement of staff members to flexitime for temporary agents and contract agents	S2R JU (contact: Mr Carlo Borghini, Executive Director)	Isaac GONZALEZ GARCIA (Data-Protection@s2r.europa.eu)	NA	Intrasoft Int'l' (external contractor under Framework service contracts RTD/IT-HORIZON 2020-2013-12-01-00 and 2016/RTD/A/PP-0993-2016)) for the personal data processed on behalf of the S2R JU related to the development and maintenance of the IT tool "Information System for Absences" (ISA) .	Personal data are collected for the purpose of assessing the entitlement of staff members to flexitime for temporary agents and contract agents storing and displaying in a dedicated HR electronic tool on information system for absences	JU staff: temporary staff, contractual staff	Identification data: name (first, maiden and family name) Data related to the justification of flexitime (e.g. indication of the activities which lead to extra working hours during a given month);	**Lawfulness of the processing of personal data** : performance of a task carried out in the public interest (article 5 a) of Regulation 2018/1725) **Specific legal bases:** 1. EU Staff Regulations: Articles 55 2. S2R JU implementing rules: S2R JU Governing Board decision 6/2015 of 16 July 2015 adopting by analogy EC Decisions including EC Decision C(2014) on working time.	N/A	HR Officer; Line manager of the staff Intrasoft intl	For flexitime the data is deleted once the transfer of unused days of annual leave to the following year has been closed. In case staff members leave the S2R JU , deleting within 2 months of their departure. In case of appeal, until the termination of all appeals.	N/A		10/12/2018	N

PO-1-10	**Prevention and management of conflicts of interests of the staff members of the Shift2Rail Joint Undertaking**	Collecting and screening declarations of confidentiality and non-conflict of interests signed by all S2R JU staff members when they take up duties.	S2R JU (contact: Mr Carlo Borghini, Executive Director)	Isaac GONZALEZ GARCIA (Data-Protection@s2r.europa.eu)	N/A	N/A	Rules for the prevention and management of conflicts of interest of the S2R JU staff members in order to ensure the handling in a transparent and consistent manner of situations where conflicts of interest may arise.	S2R JU staff : contract staff, temporary staff and seconded national experts; their spouses/partners/other household members	Depending on the function of the person working for S2R JU, relevant categories of data can be: - name, - personnel number, - position, - professional contact details, - previous or current employments, - ownership or other investments including shares, - membership of a managing body or entity, - (research) funding received, - intellectual property rights, - election or appointment for public office **Special categories of personal data:** Information on outside activities or previous employments could reveal political opinions, religious or philosophical beliefs or trade union membership. Some declaration forms also request information on the professional activities of the spouse, partner or other household members including their names.	**Lawfulness of the processing of personal data**: performance of a task carried out in the public interest and compliance with legal obligations to which the controller is subject (articles 5 a) and b) of Regulation 2018/1725) Specific legal basis: 1. Treaty on the Functioning of the European Union; 2.Staff Regulations of Officials ("Staff Regulations") and the Conditions of Employment of Other Servants of the European Union ("CEOS"), laid down by Council Regulation (EEC, Euratom, ECSC) No 259/68 , and in particular Title II of the Staff Regulations and Articles 11 and 81 of the CEOS ; 3.Article 23(2) of the Statutes annexed to Council Regulation (EU) No. 642/2014 of 16 June 2014 establishing the S2R JU ('Statutes'); 4.Guidelines on the prevention and management of conflicts of interest in EU decentralised agencies dated 10 December 2013; 5.Agreement of the European Commission pursuant to Article 110 (2) of the Staff Regulations C(2018) 728 final of 6 February 2018; 6. Decision n° 03/2018 of the S2R JU Governing Board of 23/02/2018 Adopting rules on the prevention and management of conflicts of interests of the staff members of the Shift2Rail Joint Undertaking; 7. Article 61 of the EU Financial Regulation and Article 24 of the S2R JU Financial Rules **Derogation to process special categories of personal data**: article 10 §2 (b) of Regulation 2018/1725 (processing necessary for exercising specific controller rights/obligations under employment, social security or social protection law)	N/A	The S2R JU administrative staff responsible for processing the files; The S2R JU Appointing Authority (S2R JU Executive Director or the S2R JU Governing Board); the S2R JU legal department; the S2R JU human resources department; the line manager of the staff member; the staff member concerned, as deemed necessary. The declarations of interest submitted by the S2R JU Executive Director shall be available for public scrutiny with due respect to the applicable EU rules on protection of personal data and access to documents. Where deemed relevant, the concerned person's CV (or a summary of his/her professional experience) could also be made available.	Up to 10 years after the end of the staff contract or after termination of all delays for appeal, audit and control purposes and/or budget discharge.	N/A	Declarations on conflicts of interest are stored electronically on the S2R JU server. Staff dealing with conflict of interest are designated on a need-to-know basis. In particular, appropriate access rights and access control as well as technical measures, such as physical locks and/or secure connections and firewalls are put in place with regard to hard copies. All the declarations made by staff members shall be clearly recorded in an internal register by the S2R JU. As stated in Article 5 of the Decision of the S2R JU Governing Board Adopting rules on the prevention and management of conflicts of interests of the staff members of the Shift2Rail Joint Undertaking, this register shall be maintained in compliance with Regulation (EC) No 45/2001.	19/12/2018	N
PO-1-11	**COMMUNICATION OF S2R JU STAFF PERSONAL DATA TO GOVERNMENTS OF EU MEMBER STATES**	Collecting S2R JU staff personal data (name, function and adress) and its communication, upon request, to the governments of the Member States.	S2R JU (contact: Mr Carlo Borghini, Executive Director)	Isaac GONZALEZ GARCIA (Data-Protection@s2r.europa.eu)	N/A	NA	Article 15, al.2 of the Protocol n° 7 on the Privileges and immunities of the European Union annexed to the Treaty on the Functioning of the European Union states that "the names, grades and addresses of officials and other servants included in such categories shall be communicated periodically to the governments of the Member States".	The personnel concerned is only the S2R JU statutory staff (temporary agents and contract agents (CA) as well as seconded national experts as they are assimilated to statutory staff	Data collected by S2R JU is : - Name - Function - Address	Performance of a task carried out in the public interest or in the exercise of official authority vested in the recipient (art. 5 a) of the Regulation 2018/1725). Specific legal basis: Article 15, al.2 of the Protocol n° 7 on the Privileges and immunities of the European Union annexed to the Treaty on the Functioning of the European Union states that "the names, grades and addresses of officials and other servants included in such categories shall be communicated periodically to the governments of the Member States".	N/A	Governments of the European Union Member States, through their mandated authorities (including but not limited to ministries and Permanent Representations).	Personal data will not be kept for longer than necessary, for the purpose for which they were collected or further processed. For recruited candidates, the time limit is 10 years as of the termination of employment and/or after the extinction of all rights of the person concerned and of any dependants.	NA	An electronic file, containing the above-mentioned types of personal data, will be communicated via a secured transmission system (i.e. ARES) to the requesting national governments.	29/03/2019 Ares(2019)22595 06	N
PO-2 Legal																	
PO-2-01	**MANAGEMENT OF PROCUREMENT PROCEDURES and GRANT APPLICATIONS.** More information available in the privacy notice published in the S2R web site - https://shift2rail.org/participate/procurement/	Collecting and processing of data provided by the applicants, tenderers, contractors and beneficiaries in the context of grant applications and tenders procedures as well as grant agreements and procurement contracts managed by S2R JU in accordance with S2R JU's annual work plans.	S2R JU (contact: Mr Carlo Borghini, Executive Director)	Isaac GONZALEZ GARCIA (Data-Protection@s2r.europa.eu)	For the management of grant applications, the Research Executive Agency and various services of the European Commission are also involved. For the management of procurement procedures, the European Commission can be considered as a joint controller for the processing of some categories of data	External service providers (contractors or subcontractors) under direct or framework service procurement contracts; individual expert evaluators, reviewers and other experts; European Commission and/or its services can be also considered as processors (i.e. proposal evaluation and grant management, including checks and reviews)	Award, management and follow-up of grants, prizes and financial instruments by the S2R JU in accordance with S2R JU's annual work plans; communication (in the case of prizes); award of procurement contracts	Tenderers' and applicants' data (in case of legal entities, their representatives)	**Lawfulness of the processing of personal data**: performance of a task carried out in the public interest and compliance with legal obligationsto which the controller is subject (articles 5 (a) and (b) of Regulation 2018/1725)) **Specific legal basis:** 1. Articles 2(e), 10, 11(1) of Regulation 642/2014 establishing the S2R JU and Article 17 of the Statutes annexed thereto. 2. Articles 15(7) and 40(1) of the Horizon 2020 Rules for Participation; 3. Article 33, 35 and 36 of the S2R JU Financial Rules; 4. Title VII of the EU Financial Regulation and Annex I to this Regulation (procurement) 5. Title VIII of the EU Financial Regulation (grants) 6. REGULATION (EU) No 1291/2013 of the European Parliament and of the Council of 11 December 2013 establishing Horizon 2020 - the Framework Programme for Research and Innovation (2014-2020) 7. REGULATION (EU) No 1290/2013 of the European Parliament and of the Council of 11 December 2013 laying down the rules for participation and dissemination in "Horizon 2020 - the Framework Programme for Research and Innovation (2014-2020)" **Derogation to process special categories of data:** a. criminal records: art. 11 Regulation 2018/1725 (processing under control of official authority or when the processing is authorised by Union law, in particular Article 137 (3) of the EU Financial Regulation).	N/A Restriction already foreseen in the Financial regulation – Art 142 (j)	1. S2R JU Executive Director (as the S2R JU Authorising Officer); 2. S2R JU staff participating in the selection of external experts; tender evaluation committees or grant proposal evaluation panels; 2. S2R JU IP Coordinators; 3. External evaluators or experts assisting the S2R JU; 4. European Commission and its services. 5. Intra and extra-muros external service providers (S2R JU contractors).	1. Files of successful tenderers and grant applications are kept for 10 years after the end of the respective contract or the closing of the action. 2. Files of unsuccessful or withdrawn tenderers and grant applications might be kept for up to 5 years after the closure of the particular procedure to allow for all possible appeals.Anonymous or encrypted data can be retained for a longer period for statistical, scientific or historical purposes. Personal data not updated for 10 years will be removed from any relevant database.	N/A	All S2R JU statutory staff is bound by the obligation of confidentiality with respect to any information they access within the scope of their assignment. For grant management, all processing operations have an automated part. This point covers front-office automated processing operations and supporting IT systems for Applicants/Beneficiaries. All EC IT systems are compliant with the Commission Decision of 16 August 2006 C(2006) 3602 concerning the security of information systems used by the European Commission.For procurement procedures, documents are stored electronically on the S2R JU server only in the frame of the evaluation process and award of the contract. Staff dealing with procurement procedures and grants are designated on a need-to-know basis and must sign a declaration of conflict of interest and confidentiality. Appropriate access rights and access control as well as technical measures, such as physical locks and/or secure connections and firewalls are in place, in particular for sensitive information (i.e. criminal records).Beneficiaries and contractors must adopt appropriate technical and organisational security measures giving due regard to the risks inherent in the processing and to the nature of the personal data concerned.	26/11/2018 Ares(2018)60316 72	Y
PO-2-02	**SELECTION AND MANAGEMENT OF EXTERNAL EXPERTS.** More information available in the privacy notice published in the S2R web site https://shift2rail.org/participate/procurement/	Collection and processing of data provided by individuals for the establishment of a database of prospective independent experts to assist with tasks managed by the S2R JU. The processing operations performed by the Controller include collection, storage and evaluation of personal data of the experts.	S2R JU (contact: Mr Carlo Borghini, Executive Director)	Isaac GONZALEZ GARCIA (Data-Protection@s2r.europa.eu)	The online registration of experts is centrally managed by the Research Executive Agency (REA), acting as a Controller via the H2020 Participant Portal, and locally by each Controller.	External experts (contractors, intra and extra-muros)	Selection and the management (including reimbursements of expenses and payment where appropriate) of independent experts appointed by S2R JU to advise on or assist with: a The evaluation of proposals b The monitoring of the implementation of actions carried out under Horizon 2020 as well as of previous Research and/or Innovation Programmes; c advice or assistance with other tasks related to S2R JU activities	Experts (in case of legal entities, their representatives)	• Name, date of birth, gender, nationality, VAT number, ID number, passport number, contract details, work experience / employment history, education, training and academic background and personal skills and competences (languages, technical skills). • Identification and contact details, education, area of expertise, career, publications, achievements, etc. The categories of personal data collected and further processed for selected experts are additional identification data, financial data, professional data and information forms (when applicable). **Special categories of data:** Information provided by the expert may lead to an entry in the Early Detection and Exclusion System Database (EDES) managed by the European Commission if the economic operator is in one of the situations mentioned in Article 136 FR. For more information, please visit: http://ec.europa.eu/budget/explained/management/protection/protect_en.cfm	**Lawfulness of the processing of personal data**: performance of a task carried out in the public interest and compliance with legal obligations to which the controller is subject (articles 5 (a) and (b) of Regulation 2018/1725). **Specific legal basis:** Article 2(e), 10, 11(1) of Regulation 642/2014 establishing the S2R JU and Article 17 of the Statutes annexed thereto. Article 15(7) and 40(1) of the Horizon 2020 Rules for Participation; Article 34 the S2R JU Financial Rules; Article 237 of the EU Financial Regulation (Remunerated external experts). REGULATION (EU) No 1291/2013 of the European Parliament and of the Council of 11 December 2013 establishing Horizon 2020 - the Framework Programme for Research and Innovation (2014-2020) REGULATION (EU) No 1290/2013 of the European Parliament and of the Council of 11 December 2013 laying down the rules for participation and dissemination in "Horizon 2020 - the Framework Programme for Research and Innovation (2014-2020)"	N/A	S2R JU Executive Director (as the S2R JU Authorising Officer); S2R JU staff participating in the selection of external experts; S2R JU IP Coordinators; European Commission and its services; External contractors (intra and extra-muros)	Files of selected experts are kept for 10 years after the end of the respective contract;Files of non-selected experts might be kept for up to 5 years after the closure of the particular procedure to allow for all possible appeals; Anonymous or encrypted data can be retained for a longer period for statistical, scientific or historical purposes. Personal data not updated for 10 years will be removed from any relevant database.	N/A	All S2R JU statutory staff is bound by the obligation of confidentiality with respect to any information they access within the scope of their assignment. All processing operations have an automated part. This point covers front-office automated processing operations and supporting IT systems for experts. A standar clause for the processing of personal data by the contracting party and by the expert is included in the expert's contract The expert must put in place appropriate technical and organisational security measures to address the risks inherent to data processing.All EC IT systems are compliant with the Commission Decision of 16 August 2006 C(2006) 3602 concerning the security of information systems used by the European Commission.Documents are stored electronically on the S2R JU server only in the frame of the selection and management of experts. Staff dealing with expert contracts are designated on a need-to-know basis. In particular, appropriate access rights and access control as well as technical measures, such as physical locks and/or secure connections and firewalls are in place, in particular for sensitive information.	26/11/2018 Ares(2018)60316 72	Y
PO -3 Communication																	
PO-3-01	**Event registration and organisation.** More information available in the privacy notice - https://shift2rail.org/about-shift2rail/reference-documents/#collapseNine	Collecting personal data as a part of the registration process for Shift2Rail events, processing for organisation of event (participants list, name tags, access control, etc), online registration of participants as well as communication with event participants before and after the end of events; Sharing data for networking,	S2R JU (contact: Mr Carlo Borghini, Executive Director)	Isaac GONZALEZ GARCIA (Data-Protection@s2r.europa.eu)	N/A	External service provider ("contractor") Ecorys and its subcontractors under the framework contract service S2R.17.OP.01-03 - "Provision of event communications services" (LOT 3)	Register interested persons for effective management of meetings, provide access to the S2R JU event venues, and maintain participant's lists as well as allowing possible event follow-up actions including feedback collection, specific communication activities and sharing of presentations.	Registrants/Attendees of Shift2Rail events.	1. Contact data: title (optional), first name, last name, function (optional), organisation, e-mail address, phone number (optional) and if relevant access requirements 2.Dietary requirements, only for certain events; 3. Photographs – participants that prefer their photo not be taken should inform the organiser. 4. Web streaming, only for certain events.Please see the conditions in the privacy policy 5. Sound recordings under certain provisions.Please see the conditions in the privacy policy **Special categories of data**: S2R might be able to deduce sensitive data from the dietary requirements information received, such as religious beliefs or racial origin	**Lawfulness of the processing of personal data**: performance of a task carried out in the public interest and the data subject has given consent to the processing of his or her personal data for one or more specific purposes (article 5 (a) and (d) of Regulation 2018/1725). **Specific legal basis:** - Article 2 c) and d) of the Statutes annexed to Council Regulation (EU) No 642/2014 of 16 June 2014 establishing the Shift2Rail Joint Undertaking, - S2R JU Communication Strategy 2017-2019 **Derogation to process special categories of data**: processing relates to personal data which are manifestly made public by the data subject (art. 10 §2(e) Regulation 2018/1725	N/A	Shift2Rail communication staff and external service providers 20 Seconds to Midnight and Ecorys and their subcontractors; Other participants will be able to see in certain cases the name of the data subject and its organisation.	Up to 5 years after the closure of the event.	N/A	The data is stored on an external database and is accessible only by processors ("S2R JU contractors") which may act only under the supervision of the data controller and must put in place appropriate technical and organisational security measures to address the risks inherent to data processing (article II.9 of the framework contract service No S2R.17.OP.01-03)	10/12/2018	11/01/2019 Ares(2019)1641 22	Y
PO-3-02	**E-newsletter subscription and related information.** More information available in the privacy notice published in the S2R web site - https://shift2rail.org/newsletter-subscription/	Establishing a list of email addresses to which each issue of the e-newsletter is sent; sending emails, invitations to events, alerts, e-news, and other relevant information	S2R JU (contact: Mr Carlo Borghini, Executive Director)	Isaac GONZALEZ GARCIA (Data-Protection@s2r.europa.eu)	N/A	External service providers "Mailchimp" (S2R JU marketing platform) and 20 Seconds to Midnight (and its subcontractors) under the framework contract service S2R.17.OP.01 -02- Provision of digital communication and website hosting services (LOT 2)	Subscription to the Shift2Rail electronic newsletter via the S2R JU website and related services (alerts, notifications, etc)	Recipients ("general public") having requested or explicitly consented to remain in the S2R JU database and to continue receiving emails, invitations to events, alerts, e-news, newsletters and other relevant information from S2R JU.	Name, email and company name	**Lawfulness of the processing of personal data**: performance of a task carried out in the public interest and the data subject has given consent to the processing of his or her personal data for one or more specific purposes (article 5 (a) and (d) of Regulation 2018/1725). **Specific legal basis:** - Article 2 c) and d) of the Statutes annexed to Council Regulation (EU) No 642/2014 of 16 June 2014 establishing the Shift2Rail Joint Undertaking, - S2R JU Communication Strategy 2017-2019	N/A	Shift2Rail Communication staff; external service provider 20 Seconds to Midnight and its subcontractors; "Mailchimp" (S2R JU marketing platform)	Y S2R JU relies on the external service provider" Mailchimp" for the registration and management of subscriptions to its newsletters. This service provider is based in the US and explicitly states its compliance with the EU-U.S. Privacy Shield Framework, the adequacy decision by the European Commission.Mailchimp participates in and has certified its compliance with the EU-U.S. Privacy Shield Framework and the Swiss-U.S. Privacy Shield Framework.	Until a subscriber unsubscribes. Unless S2R JU receives a positive reply from the data subject, the personal details will no longer remain in the S2R JU database and therefore the data subject will not receive any more communication from S2R JU .	N/A	Shift2Rail takes appropriate technical and organisational measures to safeguard the secured use of the collected data. Data will not be displayed to the wider public. The data is stored on Shift2Rail's MailChimp account and is accessible only by the external service provider "20 Seconds to Midnight" and S2R JU internal recipients	31/01/2019 Ares(2019)56128 3	Y
PO-3-03	**EU Survey Tool for event registrations**	Collecting personal data for the purposes of participation in an on-line survey in order to to participate in a S2R JU event on a voluntary basis. This specific on-line service consists of an on-line form made available on the EUSurvey application, managed by the European Commission.	S2R JU (contact: Mr Carlo Borghini, Executive Director)	Isaac GONZALEZ GARCIA (Data-Protection@s2r.europa.eu)	Directorate-General for Informatics (DIGIT) of the European Commission, as manager of the application EUSurvey	External service providers 20 Seconds to Midnight (and its subcontractors) under the framework contract service S2R.17.OP.01 -02- Provision of digital communication and website hosting services (LOT 2)	The purpose of processing personal data for the on-line service is the organisation and management of the event itself, including: taking all necessary organisational steps to allow you access on the premises of the event's venue; management of the event itself; event follow-up activities; sharing information about the event on S2R JU and EUROPA websites and social media accounts.	Data from registrants or attendees sent through the EU Survey tool.	• First Name, last Name • Job function • Organisation and country • E-mail address • Specific disability requirements (on a "yes" or "no" basis only); • Dietary requirements (on a "yes" or "no" basis only) • Details on the nature of the special arrangements needed in case of disability.	**Lawfulness of the processing of personal data:**-performance of a task carried out in the public interest or the data subject has given consent to the processing of his or her personal data for one or more specific purposes (article 5 (a) and (d) of Regulation 2018/1725). **Specific legal basis:** article 2 c), n) and o) of the Statutes annexed to the Council Regulation (EU) No 559/2014 of 6 May 2014 establishing the Shift2Rail Joint Undertaking.	N/A	authorised staff of the S2R JU; S2R JU external service providers ("processors"): only parts of personal data (name and surname, employer, email address) for the purpose of sending news, newsletters or invitations to future S2R JU events. authorised staff of the European Commission.	Personal data is kept for as long as follow-up actions to the survey are necessary, or as long as the data subject has given his/her consent. It will be deleted once the survey is closed and the results of the survey have been aggregated and at the latest one month later.	NA	The data is stored in the EUSurvey IT system and securely transferred to the owner of the survey, who accesses it on a "need-to-know" basis. The personal data and all information collected related to the above-mentioned event is also stored on the servers of the S2R JU, the operations of which abide by the S2R JU's security decisions and provisions established for this kind of servers and services.	11/06/2019 Ares(2019)37135 49	Y
PO-4 Administration and Finance																	
PO-4-01	**Internal audits**	Personal data is collected and managed for the purpose of independent, risk-based and objective assurance and consulting services designated to add value and improve the operations of the S2R JU	S2R JU (contact: Mr Carlo Borghini, Executive Director)	Isaac GONZALEZ GARCIA (Data-Protection@s2r.europa.eu)	N/A	The Internal Audit Service of the European Commission, acting on behalf the Internal Auditor and performing the function of internal auditor of the S2R JU; DG DIGIT considering that the audit management tool and other central systems used to store data are hosted in the corporate data centre.	The Internal Auditor reports to the S2R JU on his or her findings and recommendations and advises on dealing with risks, by issuing independent opinions on the quality of management and control systems and by issuing recommendations for improving the conditions of implementation of operations and promoting sound financial management.	1. S2R JU staff a: contract staff, temporary staff and seconded national experts; 2. Experts and S2R JU contractors; 3. Relatives of the persons above mentioned, whose personal data are available in the systems and/or files of the EC	1. Identification data: name (first, maiden and family name) of the member; function, mobile phone, address, bank account, activity, CV. 2. Other data collected: documents produced/signed by data subjects, records of meetings, which the data subjects have attended.	**Lawfulness of the processing of personal data**: performance of a task carried out in the public interest and compliance with legal obligations to which the controller is subject (articles 5 (a) and (b) of Regulation 2018/1725). **Specific legal basis:** 1. Council Regulation (EU) No 642/2014 of 16 June 2014 establishing the Shift2Rail Joint Undertaking, in particular Article 13 and Article 21 of S2R JU Statutes 2. Revised Financial Rules of the Shift2Rail Joint Undertaking, in particular Chapter 5 – Articles 26-28 3. Article 71 of the EU Financial Regulation 4. S2R Executive Director DECISION n° 2016_001 on the adoption of Internal Control Standards and ED-2017-16 on Internal Control Coordinator ad interim	N/A No restriction per se in the S2R JU related operations BUT no information on the scope of the EC decision laying down internal rules for the internal Audit Service	S2R JU Executive Director, Governing Board, European Court of Auditors; ECFIN; The Internal Audit Service of the European Commission; DG DIGIT S2R staff: DPO, Internal Control Coordinator, Head of Administration & Finance and Admin & Financial support staff	Files related to audits carried out in S2R JU:Court of Auditors, Commission Internal Audit Services, external auditors) are kept for 7 years	N/A	The official correspondence with auditees, e.g. announcement letters and audit reports, are stored in the Commission's document management system, Ares (as part of HAN). Other relevant documents that may also include personal data are collected and retained in electronic format in the audit management system. Some electronic documents may be kept in the S2R JU e-mail system and on a shared and protected filing system accessible only to S2R JU and IAS staff. A further category of documents is stored in paper files in the S2R and IAS offices. All information systems are hosted in the Commission's Data Centre and operated by DG-DIGIT.S2R JU Staff members are granted access to documents on a need-to-know basis	19/12/2018	N

P-0-4-02	**External audits and ex-post controls**	Personal data is collected and managed for the sole purpose of preparing and communicating the audit reports by the external auditors	S2R JU (contact: Mr Carlo Borghini, Executive Director) for S2R JU ex-posts audits and controls ;	Isaac GONZALEZ GARCIA (Data-Protection@s2r.europa.eu)	NA	Baker Tilly Belgium (SR2 external service provider under Framework Contract No: BUDG-15-PO-03)	Checks and financial controls of grant agreements or service contracts aim at verifying Beneficiary's or contractor's or subcontractors' or third parties' compliance with all contractual provisions (including financial provisions), in view of checking that the action and the provisions of the grant agreement or contract are being properly implemented and in view of assessing the legality and regularity of the transaction underlying the implementation of the EU budget.	S2R JU staff, external contractors (procurements and grants) and sub contractors, experts, candidates sending applications	1. identification data: name (first, maiden and family name) of the member; function, CVs; addresses; grade; activities and expertise 2. Other data collected : documents produced/signed by data subjects; records of meetings which the data subjects have attended, timesheets, salaries; accounts;cost accounting; missions; contact details	**Lawfulness of the processing of personal data**: performance of a task carried out in the public interest and compliance with legal obligations to which the controller is subject (article 5 (a) and (b) of Regulation 2018/1725). **Specific legal basis:** 1. Article 29 of Regulation (EU) No 1291/2013 as part of the Horizon 2020 indirect actions. 2 EU Financial Regulation, Articles 254 to 258 3. Council Regulation (EU) No 642/2014 of 16 June 2014 establishing the Shift2Rail Joint Undertaking, Articles 14 and 20 4. Revised Financial Rules of the Shift to Rail Joint Undertaking Chapter 9 – Articles 46-50 5. ED DECISION 2016_001 on the adoption of Internal Control Standards 6. Clauses on financial audits and controls of the grant agreement or contract signed between the S2R JU and the beneficiary/contractor	N/A No restriction per se in the S2R JU related operations BUT no information on the scope of the decision laying down internal rules for the Court of Auditors	S2R JU Executive Director, Governing Board, European Court of Auditors; EDPS, the Accounting Officer of the European Commission; The external independent auditor; Baker Tilly Belgium S2R staff: DPO, Internal Control Coordinator, Head of Administration & Finance and Admin & Financial support staff	Files related to audits carried out in S2R (Court of Auditors, Commission Internal Audit Services, external auditors) are kept for 7 years.	N/A	The official correspondence with auditees, e.g. announcement letters and audit reports, are stored in the Commission's document management system, Ares (as part of HAN). Other relevant documents that may also include personal data are collected and retained in electronic format in the audit management system. Some electronic documents may be kept in the S2R JU e-mail system and on a shared and protected filing system accessible only to S2R JU and IAS staff. A further category of documents is stored in paper files in the S2R JU and IAS offices. All information systems are hosted in the Commission's Data Centre and operated by DG DIGIT. Data are stored in computer systems and/or physical archives accessible only to duly authorized staff (management of IT and physical access rights with respect to the need to know principle).The S2r JU premises and operations of all servers abide by the Commission's security decisions and provisions.	10/12/2018	N
P-0-4-03	**Anti-fraud procedures**	Collecting personal data in order to analyse information about potential fraud and financial irregularities to assess whether there are grounds to transmit the information to the relevant authorities for investigation, in particular the European Anti-Fraud Office (OLAF).	S2R JU (contact: Mr Carlo Borghini, Executive Director)	Isaac GONZALEZ GARCIA (Data-Protection@s2r.europa.eu)	NA	Beneficiaries or contractors founded by S2R JU	The S2R Joint JU shall adopt the necessary measures needed to facilitate internal investigations conducted by OLAF. In addition OLAF may carry out external investigations, including on-the-spot checks and inspections, with a view to establishing whether there has been fraud, corruption or any other illegal activity affecting the financial interests of the Union in connection with an agreement or a contract funded by the S2R JU.More information available in the Shift2Rail Anti Fraud Strategy Action Plan and reviews published in the S2R web site : https://shift2rail.org/about-shift2rail/reference-documents/	1)natural persons who are or were suspected of wrongdoing which is the subject of the OLAF investigations; 2) natural persons who have provided information to OLAF including informants, whistleblowers, witnesses and persons who have provided statements; 3) staff of OLAF operational partners (e.g. competent staff of the EU institutions and bodies or national authorities) working on OLAF matters whose name appears in documents stored by OLAF; 4)other persons whose name appears in the case file but have no relevance to the case.	1) identification data (surname, forename, nickname, birthday, birthplace, street, postcode, city, country, telephone number, fax number and e-mail address); 2) professional data: profession, organisation and function; 3) case involvement data (case involvement, activities and information related to matters which are the subject of implementation and comments of the person involved).	**Lawfulness of the processing of personal data**: performance of a task carried out in the public interest and compliance with legal obligations to which the controller is subject (article 5 (a) and (b) of Regulation 2018/1725). Specific legal basis: 1. Articles 287 and 325 of the Treaty on the Functioning of the European Union (TFEU) ; 2. Regulation (EU) No 1291/2013 of the European Parliament and of the Council of 11 December establishing Horizon 2020 – the Framework Programme for Research and Innovation (2014-2020) and repealing Decision No 1982/2006/EC (OJ L 347, 20.12.2013, p. 104), in particular Article 30 ("Protection of the financial interests of the Union"), 3. Council Regulation (EU) No 642/2014 of 16 June 2014 establishing the Shift2Rail Joint Undertaking (hereafter "S2R"), and in particular Article 14 and Article 10(4)(f) of the Statutes. 4. the Decision of the S2R JU Governing Board n° 21/2015 of 11 December 2015 adopting the revised Financial Rules of the Shift2Rail Joint Undertaking (hereafter "the Financial Rules"), and in particular Articles 11, 12, 16, 21, 23, 46 and 50, 5. Council Regulation (Euratom, EC) No 2185/96 of 11 November 1996 concerning on-the-spot checks and inspections carried out by the Commission in order to protect the European Communities' financial interests against fraud and other irregularities, 6. Regulation (EU, Euratom) No 883/2013 of the European Parliament and of the Council of 11 September 2013 concerning investigations conducted by the European Anti-Fraud Office (OLAF) and repealing Regulation (EC) No 1073/1999 of the European Parliament and of the Council and Council Regulation (Euratom) No 1074/1999, 7. The Communication from the Commission to the European Parliament, the Council n°422, The European Economic and Social Committee, the Committee of the Regions and the Court of Auditors on the Commission anti-fraud strategy, 8. The European Anti-Fraud Office (hereafter "OLAF") Methodologies and guidance for anti-fraud strategies for DGs' and EU decentralised agencies, 9. the Decision of the Governing Board on the accession of the Shift2Rail Joint Undertaking (S2R JU) to the Interinstitutional Agreement of 25 May 1999 between the European Parliament, the Council and the Commission concerning internal investigations by the European Anti-Fraud Office, Decision No 8/2016 of 8 March 2016. 10. The S2R JU Anti-fraud Strategy, including the Action plan and its reviews **Restrictions and necessary measures to safeguard** in case of pre-investigations before opening an OLAF investigation article 25 Regulation 2018/1725. (b) the prevention, investigation, detection and prosecution of criminal offences; (c) other important objectives of general public interest of the Union or of a Member State, in particular the objectives of the common foreign and security policy of the Union or an important economic or financial interest of the Union or of a Member State, including monetary, budgetary and taxation matters, public health and social security; monetary, budgetary and taxation matters; (h) the protection of the data subject or of the rights and freedoms of others.	N/A No restriction per se in the S2R JU related operations BUT the OLAF may restrict the rights to information/ blocking/ erasure in the information S2R JU may report to OLAF and the information S2R JU may exchange with OLAF during investigations.	S2R JU staff dealing with anti-fraud cases; Responsible OLAF staff; competent national authorities; competent third country authorities and international organisations; beneficiaries or contractors founded by S2R	N/A	See Privacy notices relating to OLAF processing operations at the following link:https://ec.europa.eu/anti-fraud/olaf-and-you/data-protection/olaf-personal-data-processing-operations-and-privacy-statements_en For S2R JU measures to prevent data leakage, please read the Shift2Rail Anti Fraud Strategy Action Plan and reviews published in the S2R web site : https://shift2rail.org/about-shift2rail/reference-documents/	10/12/2018	N
P-0-4-04	**Whistleblowing procedures**	Collecting data for the purposes of establishing reporting channels for whistleblowers, managing and following-up reports, and ensuring protection and adequate remedies for whistleblowers.	S2R JU (contact: Mr Carlo Borghini, Executive Director)	Isaac GONZALEZ GARCIA (Data-Protection@s2r.europa.eu)	NA	External contractors or advisers, i.e ethics experts or law firms	The procedure detailed in the Guidelines on Whistleblowing adopted by the S2R JU Governing Board (decision n° GB-20/2018) on 04/12/2018 and available on the S2R JU web site (Decisions approved by the Governing Board): https://shift2rail.org/about-shift2rail/structure-of-shift2rail-initiative/governing-board-2/	S2R JU staff	Surname and first name Personal Number Assignment Office address & Tel Email address	**Lawfulness of the processing of personal data**: performance of a task carried out in the public interest (article 5.a) of Regulation 2018/1725). **Specific legal basis:** 1. Articles 22a and 22b of the EU Staff Regulations and Articles 11 and 81 of the CEOS. 2. S2R JU Governing Board decision n° GB-20/2018 - Guidelines on Whistleblowing 3. The S2R JU Anti-Fraud Strategy , including the Action plan and its reviews	Y Restrictions on a case-by-case basis of the rights to: information, access, rectification, blocking, erasure, notification to third parties. Ground for restriction: investigation to protect witnesses or whistle-blowers in cases where personal data relate to the suspect as well (allegations made about the suspect by informants or witnesses). Legal basis for restrictions:Article 25(1) Regulation 2018/1725 (protection of the data subject or the rights and freedoms of others)	1. the S2R Human Resources Officer, the Officer in charge of personal files. 2. the AACC (the S2R JU Executive Director) 3. OLAF where needed 4. the EPDS DPO, the IAS, the Court of auditors and the Court of Justice where necessary 5. The whistleblower or any person who may be concerned 6. External contractors or advisers (e.g. ethics experts or law firms)	Different conservation periods should apply depending on the information in the report and how the case is dealt with. If a case is sent to OLAF and an investigation is opened, there is no need for the S2R JU to keep the information for a longer period. In cases OLAF decides not to start an investigation, the S2R JU will delete the information without delay. Files on the basis of which an administrative inquiry or disciplinary procedure is opened by the S2R JU, the information should be kept in line with the retention periods foreseen for those files. When the investigation has dismissed a report of whistleblowing, the data gathered to build the investigation will be retained for a period of 2 months after the final decision has been issued to all the parties involved.	N/A	Paper files stored in S2R JU locked cupboard (in a specific paper file for background information and secure USB key for electronic files and in a restricted S2R JU drive). The final decision will be filled-in in the personal file and paper version.	10/12/2018	N
P-0-4-05	**Anti-harassment procedures**	Collection of data which take place in the context of selecting and appointing confidential counsellors or in the context of the informal procedure described in the S2R JU anti-harassment procedure.	S2R JU (contact: Mr Carlo Borghini, Executive Director)	Isaac GONZALEZ GARCIA (Data-Protection@s2r.europa.eu)	NA	External contractors or advisers, i.e ethics experts or law firms	The procedure detailed in the S2R JU policy on protecting the dignity of the person and preventing psychological harassment and sexual harassment adopted by the S2R JU Governing Board (decision GB-06/2017) on 13/12/2017 and available on the S2R JU web site (Decisions approved by the Governing Board): https://shift2rail.org/about-shift2rail/structure-of-shift2rail-initiative/governing-board-2/	S2R JU staff	Hard data (or objective): i.e. administrative and identification data, usually collected directly from the data subjects (possibly by means of opening and closing forms). The collection of "hard" data aims at the identification of the person, the management of historical records and most importantly at the identification of recurrent and multiple cases. Soft data (or subjective): i.e. allegation and declaration based upon the subjective perceptions of data subjects, usually collected by means of the personal notes of the counsellors. **Special categories of data may be processed** (inasmuch as those data are relevant for the case)	**Lawfulness of the processing of personal data**: performance of a task carried out in the public interest (main legal basis), or the data subject has given consent to the processing (complementary legal basis) or the processing is necessary in order to protect the vital interests of the data subject or of another natural person (in exceptional cases) articles 5 (a) or (d) or (e) Regulation 2018/1725. **Specific legal bases:** 1. Article 12 (a) and 24 of the EU Staff Regulations 2. S2R JU Governing Board decision n° GB-092017 on the S2R JU policy on protecting the dignity of the person and preventing psychological harassment and sexual harassment 3. S2R JU Anti-Fraud Strategy , including the Action plan and its reviews **Derogations to process special categories of personal data**: Article 10 §2 b of Regulation 2018/1725 will apply as it may be justified if necessary for "the purposes of complying with the specific rights and obligations of the controller in the field of employment law".	YES Ground for restriction: procedures to fight against harassment to protect the alleged victim in cases where personal data relate to the suspect as well (allegations made about the suspect by informants or witnesses). Legal basis for restrictions:Article 25(1) Regulation 2018/1725 (protection of the data subject or the rights and freedoms of others)	1. Confidential counsellors. 2. the S2R Human Resources Officer, acting as the S2R JU contact person (e-mail: hr@s2r.europa.eu) 3. the S2R JU Executive Director. 4. OLAF where needed. 5. S2R JU DPO, the IAS and the Court of auditors where necessary 6. In exceptional circumstances, social advisors/psychologists or judicial national authorities. 7. External contractors or advisers (e.g. ethics experts or law firms).	The confidential counsellor may keep the hard data for a maximum of 5 years. But personal and soft data won't be kept further than the necessary time for the procedure to reach an end, and for a maximum of 3 months after the closure of the case.	N/A	Files kept by the confidential counsellors in lock cupboards or on computers with passwords. Paper files stored in S2R JU locked cupboard (in a specific paper file for background information and secure USB key for electronic files and in a restricted S2R JU drive). Confidential counsellors and the S2R JU HR officer ("acting as the S2R JU contact person) are bound by the duty of confidentiality.	10/12/2018	N
P-0-4-06	**Policy on sensitive functions**	Collecting personal data for the management of sensitive posts: risks associated with tasks in the areas of management, individual decisions and finance.	S2R JU (contact: Mr Carlo Borghini, Executive Director)	Isaac GONZALEZ GARCIA (Data-Protection@s2r.europa.eu)	NA	NA	Ensure the functioning of an effective and efficient internal control system, in particular on functions that are genuinely sensitive, i.e. where the risk of fraud or irregularities in the use of funds and sensitive information is significant.	S2R JU staff	Table of functions considered and not considered as sensitive following risk assessment and mitigating measures: function, staff name, appointment date to the function risk, level appreciation mitigating measure in place, date of last assessment.	**Lawfulness of the processing,** performance of a task carried out in the public interest (article 5.a) of the Regulation 2018/1725) Specific legal basis: 1. Council Regulation (EC) No 2988/95 of 18 December 1995 on the protection of the European Communities financial interests, in particular Article 1 (2) 2. Regulation (EU) No 1291/2013 of the European Parliament and of the Council of 11 December establishing Horizon 2020 – the Framework Programme for Research and Innovation (2014-2020) and repealing Decision No 1982/2006/EC (OJ L 347, 20.12.2013, p.104), in particular Article 30 ("Protection of the financial interests of the Union"), 3. Statutes of the Joint Undertaking annexed to Council Regulation (EU) N° 642/2014 of 1ore 16th, 2014 establishing the Shift2Rail Joint Undertaking, and in particular Article 10(4)(f) on risk management and Article 23 on conflicts of interests, 4. S2R JU Anti-Fraud strategy 2017-2020 and the related ED Decision ED-17-15. 5. Decision of the S2R JU Governing Board n° 21/2015 of 11 December 2015 adopting the revised Financial Rules of the S2R Joint Undertaking (hereafter "the Financial Rules"), in particular Article 24 on conflict of interest, 6. Decision of the Governing Board adopting rules on the prevention and management of conflicts of interest of the staff of the S2R Joint Undertaking, Decision n° 03/2018, 7. SR2 Policy on sensitive fonctions dated 31/07/2018.	N/A	S2R JU management; S2R JU Human Resources Officer; S2R JU Legal Officer; European Commission (DG-HR in exceptional cases for guidance and advise)	2 years.	N/A	MITIGATING MEASURE IN PLACE: 1. Mandatory signature of Non-Conflict of interest declaration. Any potential conflicts of interest shall always be disclosed in accordance with S2R Col policy; 2. Segregation of duties as per Financial Rules; 3. Audit by internal Audit Service and European Court of Auditors; 4. Periodic management review and assessment made by the Executive Director (including Annual Appraisal); 5. Appropriate training (including on ethic and anti-fraud); 6. Annual assessment of risk factors through the risk assessment exercise. 7. ADO acts result from a decision making process based on a control chain as per JU processes and procedures.	10/12/2018	N
P.O 5 Technical/ Systems/ Applications																			
P-0-5-01	**User Network and Systems Access**	Provisioning of necessary access to S2R JU employees to designated business ICT systems of the organization based on incoming requests from HR department or management requests/access authorizations	S2R JU (contact: Mr Carlo Borghini, Executive Director)	Isaac GONZALEZ GARCIA (Data-Protection@s2r.europa.eu)	European Commission (DG DG informatics)	IT external service providers, in particular company Real Dolmen N.V (under FWC IMI.2014.FWC.43); other service providers under European Commission Framework service contracts that S2R JU has joined or have signed Service Level Agreements with the European Commission (DG DG Informatics-DGIT)	To provide S2R JU employees with necessary access to ICT systems and services in order for them to carry out their statutory duties. This includes access provisioning to IC systems like ECAS/EU Login or ABAC. More details are included in the S2R JU Guidelines for staff on the use of the Commission's ICT services	S2R JU staff, interim staff, trainees and external contractors; any other person whose personal data have been collected and are processed by information systems that use the S2R JU ICT infrastructure.	1. First Name, Last Name, date of birth (ECAS only), staff number, mobile phone number. 2. User authentication (i.e: ECAS, ABAC, ARES), access control and authorisation facilities for S2R JU information systems and infrastructure services provided by the European Commission as detailed in the S2R JU Guidelines for staff on the use of the Commission's ICT services. 3. Logging files when accessing servers or databases.	**Lawfulness of the processing of personal data** : performance of a task carried out in the public interest (art. 5 a) of the Regulation 2018/1725). **Specific legal basis:** 1. S2R JU Governance and Process Handbook 2. Service Level Agreement between S2R JU and European Commission (DIGIT) 3. Several European Commission Framework service contracts that S2R JU has joined	N/A	S2R staff, including IT system administrators, database administrators, network and security managers; European Commission, in particular DGIT (i.e. EC e-mail address book); IT external services providers (i.e: Real Dolmen).	Network access data (username and password) kept for the duration of the employment and deleted 1 month after user's departure. ABAC and ECAS retention policies apply. Other retention times may differ for different storage purposes and in line with contractual, legal and regulatory requirements.	N/A	Confidentiality of communications and privacy are guaranteed when using the S2R JU and the European Commission's ICT services for private purposes. Information is stored on an outsourced provider's server infrastructure in an off-site data centre. Security perimeters are included in the Framework Contract Services describing the provision of ICT services. In particular, appropriate access rights and access control as well as technical measures, such as physical locks and/or secure connections and firewalls are put in place with regard to hard copies. For Windows 10 acces a username and password will be required from users to log on, which is renewed every six months.	10/12/2018	N
P-0-5-02	**Video Surveillance system**	Recording, storing and giving acces to record tapes by means of a closed circuit television (CCTV) system which are installed in S2R JU public areas located in the second floor of the White Atrium building (Avenue de la Toison d'Or 56-60, B-1060 Brussels/Belgium).	S2R JU (contact: Mr Carlo Borghini, Executive Director)	Isaac GONZALEZ GARCIA (Data-Protection@s2r.europa.eu)	NA	Securitas SA	The Agency uses its video-surveillance system for the sole purposes of protecting its premises and assets outside working hours for safety, security and access control purposes only. The video-surveillance system helps monitor access to our offices, as well as safeguards property and information located or stored on the premises.For more information please read the S2R JU privacy notice available on the S2R's web site	S2R JU staff, visitors and other persons entering into the S2R JU premises outside regular working hours.	Video footage of S2R JU staff, visitors and other persons entering into the S2R JU premises outside regular working hours.	**Lawfulness of the processing of personal data**: performance of a task carried out in the public interest (article 5 a) of the Regulation 2018/1725).The use of our video-surveillance system is necessary for the management and functioning of S2R JU (for the security and access control purposes). **Specific legal basis:** 1. Article 10 of Statutes annexed to Council Regulation (EU) No 642/2014 of 16 June 2014 establishing the Shift2Rail Joint Undertaking. 2. S2R JU Governance and Process Handbook 3. Shift2Rail JU Video-surveillance Policy	N/A. The rights that could be restricted on the ground of internal security of the S2R JU would mainly be the right to information. Only in exceptional circumstances the images may be transferred to investigatory bodies in the framework of administrative inquiries, disciplinary proceedings or OLAF investigation as far as there is a connection with the prevention, investigation or criminal offences. Grounds for the restriction: 1. Article 25(b) Regulation 2018/1725: "prevention, investigation, detection and prosecution of criminal offences". 2. Article 25(d) Regulation 2018/1725: " internal security of Union institutions and bodies"	The ICT and Security Officer; security guards on duty working for the S2R JU external security provider" Securitas SA"	Recorded video-surveillance data is retained for a maximum of seven calendar days. Thereafter, all images are overwritten and consequently automatically deleted if any images need to be stored to further investigate or evidence a security incident, they may be retained as necessary. A register in an electronic form - is held to keep track of any recording that is retained beyond the normal retention period. Their retention is documented rigorously and the need for retention is to be reviewed periodically.	N/A	Measures are taken to ensure security with respect to transmission, storage (such as in computer databases), and access (such as access to computer systems and premises), in particular: Secure premises, protected by physical security measures, host the servers storing the images recorded; network firewalls protect the logic perimeter of the IT infrastructure; and the main computer systems holding the data are security hardened. All staff with access rights (external and internal) sign a confidentiality undertaking. Additionally, the system operates on a separate, disconnected private network with no external remote access, which excludes any possibility of intrusion and IT security breach.	10/12/2018	On-going

PO-S-03	**S2R JU Info Day mobile app**	Collecting, processing and storing personal data locally for the S2R JU Info Day mobile application, a software solution created and developed by Eventum available for download at www.eventum.me and/or from the Apple Store and the Android Market, allowing the use of the Connexmile service on smartphone devices.	S2R JU (contact: Mr Carlo Borghini, Executive Director)	Isaac GONZALEZ GARCIA (Data-Protection@s2r.europa.eu)	N/A	Eventum SA, subcontractor of Ecorys NV, a S2R JU communication external service provider under the framework contract No S2R.17.OP.01-03	The S2R Mobile App is cost-free and exclusively created ad hoc for the Shift2Rail Info Day event, taking place normally at the end or at the begining of each year, and available only few days before, during and after the meeting. The S2R JU uses its mobile app for the sole purposes of permitting app users to enjoy all facilities and event related services occurring during the S2R JU Info Day. It notably allows users: - to participate in events with elements broadcast on screens, - to interact with the content of said events, - to communicate with other participants or the organizer of the event and, once the event has finished, - to access a list of all the events in which the organizer has participated and the content linked to these events. More information can be found in the Privacy notice published on the S2R JU web site: https://shift2rail.org/terms-of-use/	Users of the S2R Info Day mobile app. Eventum must obtain their consent before installing any application on user's smart mobile device	The only data accessible/collected related to individuals are: - Their Forename and Family name - Their Email address - Their function - The company they work for: The mobile application will collect only those data that are strictly necessary to perform the lawful functionalities as identified and planned.	**Lawfulness of the processing of personal data**: performance of a task carried out in the public interest and the data subject has given consent to the processing of his or her personal data for one or more specific purposes (articles 5 (a) and (d) of Regulation 2018/1725). **Specific legal basis:** - Council Regulation (EU) No 642/2014 of 16 June 2014 establishing the Shift2Rail Joint Undertaking (hereafter "S2R"), and in particular Articles 2(in) and 10 (4)(o) of the Statutes, - Regulation (EU) No 1291/2013 of the European Parliament and of the council of 11 December 2013 establishing Horizon 2020 - the Framework Programme for Research and Innovation (2014-2020), and in particular Article 28, - The Shift2Rail JU Communication Strategy 2017-2019; - Framework service contract No S2R.17.OP.01-03, in particular article II.9 ("Processing of personal data")		1. The personal data provided via the app are for the exclusive use of EVENIUM, and is shared only as necessary to Eventum's contracted partners, specifically to enable proper execution of the Eventum services, and limited to the service they provide 2. Ecorys NV (external communication service provider)	The S2R JU does not envisage storing any personal data provided via the app for their own purposes.	N/A	The controller and the processor have put in place the appropriate technical and organisational security measures to protect personal data and are committed to stay abreast of new developments in threats and vulnerabilities, and their most effective countermeasures. In particular S2R JU will use information sources like the OWASP community (where the most common current threats and vulnerabilities for all kind of applications are described, together with possible countermeasures) and guidelines from the European Union Agency for Network and Information Security as well as have recourse to security consultancy when needed.	19/12/2018	
PO-S-04	**Management of the S2R JU Cooperation tool**	Collecting and exchange documents, S2R JU members comments and opinions and organisation of meetings of S2R projects; recording history data (for audit trail) of all communication and modifications applied by individual access	S2R JU (contact: Mr Carlo Borghini, Executive Director)	Isaac GONZALEZ GARCIA (Data-Protection@s2r.europa.eu)	N/A	External contractor "Centro Nuova Comunicazione S.R.L." under Service contract S2R.2016.OP.03	Management of the Web application "Shift2Rail Multi-project Cooperation Tool" (https://www.cooperationtool.eu/en/), a multi-project (programme) to manage all collaborative projects performed by the S2R JU Members, stemming from the S2R JU annual calls for proposals under the rules for participation of H2020 and the S2R JU Regulation, as well as some specific JU activities like the IP/CCA Steering Committees. The tool allow and support the cooperation of the various R&I project participants to implement the Description of the Action (DoA) for each awarded grant through daily project coordination and communication, as well as allow the JU to manage its working groups and Steering Committee with the respective members. It also allows the S2R JU Members to monitor the financial management of their respective grant agreements as well as their annual Total Project Costs(MAPP) reporting and certification in accordance with Article 4.4 of the S2R JU Regulation. In particular the tool offers a common interface and a platform for: coordination; planning; control; technical, administrative and financial management; exchange of document; comments and opinions; organisation of meetings of S2R JU projects and groups.	The S2R JU Cooperation tool users ("access rights"), in particular: S2R JU founding and associated Members and S2R JU staff; in exceptional circumstances external guests (i.e: auditors)	Data collected by S2R JU for for the performance, management and monitoring of the contract Name and contact details; Professional information; Information uploaded or provided to S2R JU	**Lawfulness of the processing of personal data** : performance of a task carried out in the public interest (art. 5 a) of the Regulation 2018/1725). **Specific legal basis:** - Council Regulation (EU) No 642/2014 of 16 June 2014 establishing the Shift2Rail Joint Undertaking (hereafter "S2R"), and in particular Articles 2(in) of the Statutes. - Service Contract S2R.2016.OP.03 (Shift2Rail Multi-project Cooperation Tool) signed on 19/12/2016 between S2R JU and CNC Centro Nuova Comunicazione S.R.L.	N/A	Under regular circumstances, recipients of the data are: - S2R JU founding and associated Members (https://shift2rail.org/about-shift2rail/ju-members/) - S2R JU staff (https://shift2rail.org/about-shift2rail/s2r-organisation/) - Observers in the IP/CCA Steering Committee (ERA and EC representatives) - Processors (i.e.: S2R JU external service providers), for instance "Centro Nuova Comunicazione S.R.L" under Service contract S2R.2016.OP.03	Corporate systems and S2R-specific systems (such as SYSPER2, ARES, ABAC, etc. including IT systems developed and used by S2R) have a retention period of 3 years	N/A	All data developed, entered or communicated within this tool remains the sole ownership of the participants to the project and accessible only to them and the Shift2Rail Joint Undertaking staff. No records or copies entered shall be kept by the contractor. The external contractor has established suitable security and redundancies features both in the Tool and in the hosting environment, in particular: access to the tool is password protected; passwords are automatically generated and stored in encrypted format; a password recovery mechanism is in place; a hierarchical level of rights is in place which allow limiting access to available information and related functionality within the Tool, according to needs; a secure communication channel is established between the server and the client, protected by a ISO 27001 certificate; back-ups, update and monitoring services, corrective and periodic maintenances are in place; the hosting environment and the data centre (both primary and secondary) are located in Italy.	01/02/2019 Ares(2019)14750 74	N
POG institutional / Governance																		
PO-G-01	**Document management system**	Repository and filling of documents received and sent out from and to external person as well as internal mail/documents exchanges	S2R JU (contact: Mr Carlo Borghini, Executive Director)	Isaac GONZALEZ GARCIA (Data-Protection@s2r.europa.eu)	European Commission (DG DG Informatics) for the IT tools S2R JU is using (ARES-NOMCOM, ABAC systems, SysGma/Compass, EM), etc)	European Commission (DG DG Informatics) and/or its IT service providers;	Ensure appropriate follow up, filing and registration of important communication (internal/external) and documents. The S2R JU document management systems and related procedures should comply with relevant compulsory security measures, provisions on document management and rules on protection of personal data. For more information please read the S2R JU Document management policy-version 2 available in the S2R JU web site: https://shift2rail.org/about-shift2rail/reference-documents/	S2R JU staff and their correspondants	Data contained in the targeted correspondence: Name, address, subject field, related project/contract of external natural person corresponding with S2R JU Staff as well as data from the staff itself.	**Lawfulness of the processing of personal data**: performance of a task carried out in the public interest (article 5 (a) of Regulation 2018/1725). **Specific legal bases:** 1. Council Regulation (EU) No 642/2014 of 16 June 2014 establishing the Shift2Rail Joint Undertaking, and in particular Article 10 of the Statutes annexed thereto, 2. Commission Decision 2002/47/EC, ECSC, Euratom of 23 January 2002 amending its Rules of Procedure on the provisions on document management, 3. Commission Decision 2004/563/EC, Euratom of 7 July 2004 amending its Rules of Procedure on the Commission's provisions on electronic and digitised documents, 4. Internal control standards (ICS) rules of the Shift2Rail Joint Undertaking adopted on 08/06/2016, 5. S2R JU Document management policy-version 2	N/A	S2R JU staff, S2R JU DPO European Commission (DG DG Informatics) and/or its IT service providers If relevant: Auditors, OLAF, Commission's Investigation and Disciplinary Office ("IDOC").	5 years for the document management policy, archive policy and their implementation; 3 years for day-to-day document management.	N/A	Documents are stored electronically on the S2R JU server in a specific folder. Access rights are reserved to S2R JU Staff. In particular, appropriate access rights and access control as well as technical measures, such as physical locks and/or secure connections and firewalls are put in place with regard to hard copies.	19/12/2018	N
PO-G-02	**Access to documents**	Receipt of requests of any external person to access S2R JU (public) documents from different channels (S2R JU on-line form, general mailbox, individual S2R JU staff, etc); analysis of the request; taking a decision on the request; informing the applicant of the decision and acknowledgment of receipt. For more information please read the S2R JU practical arrangements for implementing Regulation (EC) No 1049/2001 of the European Parliament and of the Council regarding public access to documents adopted by the S2r JU Governing Board (decision N° 22/2015).	S2R JU (contact: Mr Carlo Borghini, Executive Director)	Isaac GONZALEZ GARCIA (Data-Protection@s2r.europa.eu)	N/A	S2R JU external service providers ("contractors")	The purpose of the processing operation is to ensure appropriate treatment of requests for access to public documents of the S2R JU.	Any natural person acting on a private basis or on behalf of a legal person submitting a request for access to S2R JU (public) documents	Applicant's data: All mandatory data included in the official request form (Names, Business domain, Organisation, Email, Address, Postal code, Country, Fax, Phone) as well as any further data regarding the document (Type, Year, Number, Version) Any other natural person's data appearing on the requested documents	**Lawfulness of the processing of personal data**: performance of a task carried out in the public interest and compliance with legal obligations to which the controller is subject (art. 5 (a) and (b) of Regulation 2018/1725). **Specific legal basis:** 1. Council Regulation (EU) No 642/2014 of 16 June 2014 establishing the Shift2Rail Joint Undertaking, and in particular Article 16 (1) and (2) thereof; 2. Decision n° 22/2015 of the Governing board on the practical arrangements for implementing Regulation (EC) No 1049/2001 of the European Parliament and of the Council regarding public access to documents N° 22/2015	N/A	S2R JU Legal Officer and DPO Document Access Coordinator S2R JU Management S2R JU Executive Director S2R JU external service providers	Up to 5 years after the closure of the request procedure.	N/A	Documents are stored electronically on the S2R JU server. Staff dealing with access to documents requests is designated on a need-to-know basis. In particular, appropriate access rights and access control as well as technical measures, such as physical locks and/or secure connections and firewalls are put in place with regard to hard copies	19/12/2018	On-going
PO-G-03	**Management of S2RJ JU Gouvernance's bodies and meetings**	Collecting and processing information of attendees to the S2R JU meetings, in particular invitations, registration, minutes, member's nominations; register of visitors for the Executive Director and other S2R JU staff	S2R JU (contact: Mr Carlo Borghini, Executive Director)	Isaac GONZALEZ GARCIA (Data-Protection@s2r.europa.eu)	N/A	Securitas SA, S2R JU security external provider	Grant access to members of S2R JU bodies and visitors to S2R JU premises in order they could attend either S2R JU Gouvernance meetings or meetings with the S2R JU Executive Director or S2R JU staff. More information on the Shift2Rail bodies, minutes and member's names can be found on the S2R JU web site: https://shift2rail.org/about-shift2rail/structure-of-shift2rail-initiative/	Any natural person acting on a private basis or on behalf of a legal person submitting a request for a meeting with the Executive Director or S2R JU staff: Data of the S2R JU Gouvernance's body members, in particular : 1. Members of the Governing Board, 2. Members of Scientific Committee 3. Members of States Representatives Group, 4. Members of the Innovation Programmes' Steering Committees, 5. Members of working groups 6. Other participant, observer, or expert invited to the meetings of the bodies of the S2R JU.	Names, business domain, Organisation, Email, contact details, short curriculum vitae	**Lawfulness of the processing of personal data**: performance of a task carried out in the public interest (article 5(a) of Regulation 2018/1725). **Specific legal basis:** 1. Article 5 of the Statutes annexed to Council Regulation (EU) No 642/2014 of 16 June 2014 establishing the Shift2Rail Joint Undertaking 2. Rules of Procedure of the S2R JU Governing Board, Scientific Committee and States Representatives Group.	N/A	S2R JU ED Assistant, Programm assistant S2R JU Legal Officer and DPO, EDPS, Security Service of the White Atrium building If relevant: S2R JU Management and Executive Director. Auditors, EDPS	Management of day-to-day activities of the S2R JU bodies (records of meetings, attendance lists, correspondance, ect): 5 years	N/A	Documents are stored electronically on the S2R JU server. Staff responsible for organising meetings, is designated on a need to know basis. In particular, appropriate access rights and access control as well as technical measures, such as physical locks and/or secure connections and firewalls are put in place with regard to hard copies	19/12/2018	On-going
PO-G-04	**Prevention and management of conflicts of interests applicable to the bodies of Shift2Rail Joint Undertaking**	Collecting and screening declarations of confidentiality and non-conflict of interests signed by all members of the S2R JU bodies before appointment, after appointment (in a yearly basis) and spontaneously at any time in the course of his duties (ad-hoc Declaration).	S2R JU (contact: Mr Carlo Borghini, Executive Director)	Isaac GONZALEZ GARCIA (Data-Protection@s2r.europa.eu)	N/A	N/A	Rules for the prevention and management of conflicts of interest applicable to the members of the bodies of the S2R JU listed under Article 5(1) of the Statutes in order to ensure the handling of situations where potential conflicts of interest may arise in a transparent and consistent manner.	1. Members of the Governing Board, 2. Members of Scientific Committee 5. Members of States Representatives Group, 6. Members of the Innovation Programmes' Steering Committees, 5. Members of working groups 6. Their spouses or partners or other household members 7. Other participant, observer, or expert invited to the meetings of the bodies of the S2R JU.	Depending on the categories of members of the bodies of S2R JU other than Union staff members, relevant categories of data can be: - name, - personnel number, - position, - professional contact details, - previous or current employments, - ownership or other investments including shares, - membership of a managing body or entity, - (research) funding received, - intellectual property rights, - election or appointment for public office **Special categories of data** - information on outside activities or previous employments could reveal political opinions, religious or philosophical beliefs or trade union membership. Furthermore, some declaration forms also request information on the professional activities of the spouse, partner or other household members including their names	**Lawfulness of the processing of personal data**: performance of a task carried out in the public interest and compliance with legal obligations to which the controller is subject (articles 5 (a) and (b) of Regulation 2018/1725) **Specific legal basis:** 1.Treaty on the Functioning of the European Union; 2.Council Regulation (EU) No 642/2014 of 16 June 2014 establishing the Shift2Rail Joint Undertaking and Statutes annexed to the S2R JU Regulation, in particular Article 21, 3. Rules of Procedure of the Governing Board, Rules of Procedure of the Scientific Committee, the appointment letters of the Scientific Committee Members and the Rules of Procedure of the States Representatives Group, and the appointment letters of the Scientific Committee Members; 4.Decision n° 07/2018 of the S2R JU Governing Board of 23/ 02/2018 Adopting rules on the prevention and management of conflicts of interests applicable to the bodies of Shift2Rail Joint Undertaking **Derogation to process special categories of personal data**: article 10 §2 (b) of Regulation 2018/1725 (processing necessary for exercising specific controller rights/obligations under employment, social security or social protection law)	N/A	The Chairperson of the relevant body or group; the S2R JU Executive Director; the Vice-Chair of the respective body or group; The S2R JU administrative staff responsible for processing the files; the S2R JU legal department; the concerned member; the S2R JU Data Protection Officer The name of the Members of Governing Board, Scientific Committee, States Representatives Group together with the name of their employer or any organisation which pays them shall be published on the S2R JU's website. The CVs and declarations of interest by the Members of the Governing Board shall be available for public scrutiny in the S2R JU web site with due respect to the applicable EU rules on protection of personal data and access to documents (article 9 of Decision n° 07/2018)	The Declarations related to a member or observer of a S2R JU body shall be recorded in a Register kept by the S2R JU Data Protection Officer S2R JU for a period of 5 years (article 9 of the Decision n° 07/2018 of the S2R JU Governing Board of 23/ 02/2018).	N/A	Declarations on conflicts of interest are stored electronically on the S2R JU server. Staff dealing with conflict of interest are designated on a need-to-know basis.In particular, appropriate access rights and access control as well as technical measures, such as physical locks and/or secure connections and firewalls are put in place with regard to hard copies. The Declarations related to a member or observer of a S2R JU body shall be recorded in a Register kept by the S2R JU Data Protection Officer S2R JU. This register shall be maintained in compliance with Regulation 2018/1725	19/12/2018	On-going