



**RECORD**  
**of processing activity**  
**according to Article 31 Regulation 2018/1725<sup>1</sup>**

**NAME of data processing<sup>2</sup>:**

360° feedback exercise for F4E managers.

**Last update: May 2020**

1) Controller(s) <sup>3</sup> of data processing operation (Article 31.1(a))
<ul style="list-style-type: none"> <li>• Controller: Organisational entity of Fusion for Energy (F4E)                             <ul style="list-style-type: none"> <li>○ Unit / Department <b>responsible<sup>4</sup></b> for the processing activity: Human Resources Unit</li> <li>○ Contact: <a href="mailto:HR-DataProtection@f4e.europa.eu">HR-DataProtection@f4e.europa.eu</a></li> </ul> </li> <li>• Data Protection Officer (DPO): <a href="mailto:DataProtectionOfficer@f4e.europa.eu">DataProtectionOfficer@f4e.europa.eu</a></li> </ul>
2) Who is actually conducting the processing? (Article 31.1(a)) <sup>5</sup>
The data is processed by F4E (responsible unit) itself:..... <input checked="" type="checkbox"/>
The data is processed by a third party (e.g. contractor) (Art. 29 – Processor) :..... <input checked="" type="checkbox"/>
Contact point at external third party (e.g. Privacy/Data Protection Officer): _____

F4E is contracting the 360° exercise with the Greenhouse Group (hereinafter “the Processor”), through a service contract between F4E and The Greenhouse Group ([F4E-2018-FW-116.02.01 - EPSO/EUSA/PO/2018/028 - Lot 2 - F4E\\_D\\_2HTW4B](#)).

Contact point of Greenhouse group:

[l.jeandin@greenhouse-group.com](mailto:l.jeandin@greenhouse-group.com)

The Greenhouse Group is processing the questionnaire required for the 360° exercise through a sub-processor, the Leadership Circle LLC, with which F4E has not direct contract.

Contact point for the Leadership Circle LLC:

[project-center@theleadershipcircle.com](mailto:project-center@theleadershipcircle.com)

### 3) Purpose and Description of the processing (Article 31.1(b))

*Why is the personal data being processed? Specify the underlying reason for the processing and what you intend to achieve. Describe, summarise the substance of the processing.*

*When you (later on) intend to further process the data for another purpose, please inform the Data Subject in advance.*

The purpose of the 360° exercise is twofold:

#### **Individual purpose:**

The 360° feedback is an exercise managed by the HR Unit allowing managers to receive feedback from various sources (subordinates, peers, superiors or ‘others’ (this last category being optional and to be decided by the manager concerned) concerning their strengths and weaknesses in a wide range of competency areas. It is to be noted that the term ‘manager’ is used here in a broad meaning and may include staff members who have team coordination responsibilities without belonging necessarily to the category of middle management as defined in the Staff Regulations.

The 360° feedback is done on the basis of a questionnaire sent and completed by the managers who decide to be assessed (hereinafter referred to as ‘assessee’), as well as by a sample of respondents (from the categories of subordinates, peers and superiors of the manager concerned or ‘others’ (to be determined by the manager concerned), hereinafter called ‘contributors’.

The 360° exercise aims at helping assessees learn about their professional and managerial skills and enhance their own personal development in a professional context. The 360° exercise therefore constitutes a professional development tool, formally distinct and

disconnected from the performance appraisal procedure.

**Collective purpose:**

As far as management in F4E is concerned, the exercise also provides a picture of the management culture within F4E.

The participation in this exercise by the assesseees and the contributors who receive the questionnaire (subordinates, peers, superiors or others) is voluntary and no negative consequences derive from either participating or not participating.

Furthermore, assesseees may revoke their consent and consequently stop the exercise at any time of the process, which will lead to no negative consequences whatsoever. Senior Managers and other managers who want to be assessed sign a specific consent form (one for [Senior Manager – F4E\\_D\\_2L7AC2](#), one for [other managers –F4E\\_D\\_2LTLMT](#)) for each 360° exercise. The consent regarding one exercise is without prejudice to future exercises, for which the consent will be requested again.

**Description of the process:**

The assessment is based on an online questionnaire, the 'Leadership Circle', comprising of several sections corresponding to a series of key management competencies. The data collected in the questionnaire are numerical data (scores given to each statement) and data in the form of open comments or suggestions that the contributors wish to make. These comments can reflect the opinions that the contributors have about the manager concerned, on a specific matter, or give details or reasoning on the score given to him/her. All comments made by the contributors will remain exactly as written by the respondent in their feedback and no modifications to these comments will be made in the individual report.

The external provider receives from F4E the list of staff members participating to the exercise, who have beforehand provided the consent form duly completed.

The external provider then sends a link to the managers, so that they can connect to the questionnaire. The managers will fill out the questionnaire and upload the information concerning their contributors (full name, category, email addresses).

Once the questionnaires are completed, the external providers conduct the analysis and prepare two sorts of reports:

- an individual report concerning each assessee (and addressed only to each assessee), consisting of the analysis of the quantitative data retrieved from the questionnaires and the open comments (if any);
- a group report including aggregated results of the assessees. There will be a group report specific for the Senior Management results and a group report specific for the other managers results. The group reports preserve the anonymity of assessees and contributors who participated in the exercise and no open comments from the individual reports are included. Group reports are shared with all F4E staff.

For training & development purposes in general, an anonymised report containing only common trends for learning and development purpose is also provided to the HR Unit.

In addition to these reports, the external provider also organises:

- oral individual debriefing sessions with each Senior Manager evaluated to be carried out by a qualified debriefer employed by the external provider. For other managers, individual debriefing sessions may also take place, upon request from F4E;
- oral (sub)groups debrief (not sharing individual results though) for all assessees.

#### 4) Lawfulness of the processing (Article 5(a)–(d)):

*Mention the legal bases which justifies the processing*

Processing necessary for:

(a) performance of tasks in the public interest attributed by EU legislation (including management and functioning of F4E): .....

- [Council Decision of 27 March 2007 “establishing the European Joint Undertaking for ITER and the Development of Fusion Energy and conferring advantages upon it” - 2007/198/Euratom, as last amended by Council Decision of 22 February 2021 \(2021/281 Euratom\), O.J. L 62, 23.02.2021, p.8, in particular Article 6 thereof;](#)
- [Statutes annexed to the Council Decision \(Euratom\) No 198/2007 “establishing the European Joint Undertaking for ITER and the Development of Fusion Energy and conferring advantages upon it”, as last amended on 22 February 2021, in particular Article 10 thereof;](#)
- [Staff Regulations of Officials \(SR\) and the Conditions of Employment of Other Servants of the European Communities \(CEOS\), notably Article 24 on professional development;](#)
- F4E Integrated Management System Standards ([F4E\\_D\\_24LQJM](#)) of [25/07/2012, standard n°4 on Human Resources and learning and development needs](#)

(b) [compliance with a specific legal obligation](#) for F4E to process personal data<sup>6</sup>....

(c) necessary for the performance of a contract with the data subject or to prepare such a contract .....

(d) Data subject has given consent (ex ante, freely given, specific, informed and unambiguous consent).....

A consent form is signed by each future assessee before the start of the exercise. The form is then stored in the HR shared drive electronically:

- Consent to take part in this exercise,
- Consent to allow the provider in charge of administering the 360° exercise to access the individual reports, as described in section 7.

<sup>6</sup> The distinction between points (a) and (b) is that in point (a) F4E is given a task which requires the processing of personal data to fulfil it (e.g. staff appraisal), while in point (b), the legal basis directly requires F4E to process the personal data, without margin of implementation.

## 5) Description of the data subjects (Article 31.1(c))

*Whose personal data is being processed?*

The different categories of persons potentially affected by the processing of personal data within the 360 degree feedback are:

- Managers subject to evaluation, the 'assessee': members of the Senior Management team, Middle Managers and Group Leaders whose group is composed of 4 persons or more and who have at least 9 months seniority in the functions;
- Contributors: subordinates, peers, superiors and others (the last category being chosen by the assessee is optional).

It is to be noted that in the 'Leadership Circle' assessment tool, which is being used as questionnaire for the purpose of the 360° exercise, subordinates are called 'Direct Reports', superiors are called 'Boss' and the hierarchical of that superior is called 'Boss/Boss' (two different categories).

## 6) Categories of personal data processed (Article 31.1(c))

*Please give details in relation to (a) and (b). In case data categories differ between different categories of data subjects, please explain as well.*

### **a) General personal data:**

- Full name, position, e- mail address, language and gender of the assessee;
- Full name, category (subordinates, peers, superiors, others), gender, e-mail address of the contributors;

### **In the consent forms:**

Name, surname, date, signature, consent to take part in the exercise on voluntary basis, results being used for statistical purposes, individual results accessed.

### **In the assessment report:**

- Assessment on the managerial skills of the assessee produced by the manager himself / herself and by the contributors;
- Opinions of the contributors reflected as open comments or suggestions on the managerial competencies of the manager concerned;
- Individual outcome of the assessment (quantitatively and qualitatively). If there are

less than 3 contributors in one of the category peers, subordinates and/or others, the results are not presented separately (to protect anonymity). This individual report also reflects the results by competency areas and by statements within the competency area. On this basis, the external provider draws a series of operational conclusions (including, where appropriate, the highlighting of diverging perceptions for a single issue between categories of contributors).

**b) Sensitive data (Article 10)**

Processing of sensitive data is not foreseen or expected. However, it is not excluded that a contributor in the exercise introduces sensitive data in his/her qualitative comments.

**7) Recipient(s) of the data (Article 31.1 (d)) – Who has access to the personal data?**

*Recipients are all people to whom the personal data is disclosed (“need to know principle”). Not necessary to mention entities that may have access in the course of a particular investigation (e.g. OLAF, Court, EDPS).*

In order to provide a clear and structured information, the recipients are listed for each type of processing.

The exercise involves two processors in addition to F4E:

- F4E contractor: Greenhouse
- A sub-contractor of Greenhouse: the Leadership Circle LLC.

Leadership Circle LLC collects the questionnaires on the managers who participate in the exercise through its own assessment tool and produce individual and group reports whereas Greenhouse is responsible for individual and groups debriefings as well as the summary report to the attention of the HR Unit on trends for Learning and Development purpose.

**Consent Forms:**

**External Processor:**

The Greenhouse Group (including Greenhouse Group coach in charge of administering the 360° assessment for F4E), in line with their privacy notice;

**F4E recipients:**

- Director
- Head of HR
- HR responsible officers for implementing the exercise

### **Questionnaires:**

#### **External Processor:**

- Emails are collected to retain privacy so that only the email contact can access their surveys.
- Names are optional, and are not verified by the external processors. They are collected so that the reports can be labeled with the persons' correct name, and reports can be clearly identified as to whom they belong to. They are not used for any other purpose.
- Both Leadership Circle LLC and Greenhouse Group have access to the data contained in the questionnaires completed by the managers concerned and by the contributors. The data in the questionnaires have no reference to the identity of the contributors, but they indicate the category of each respondent that makes the contributions (subordinates, peers, superiors or others). Contributors ignore the identity and the contents of the contributions made by others.

### **Individual Reports:**

#### **External Processor:**

- Leadership Circle LLC, in line with their privacy notice;
- The Greenhouse Group (including Greenhouse Group coach in charge of administering the 360° assessment for F4E), in line with their privacy notice;
- External Coach in case the assessee decides that s/he voluntarily wants to share the data with him/her for professional development purpose.

#### **F4E recipients:**

- Assessee: the manager who was assessed receives his/her own individual report prepared by the external provider.

### **Group Reports (no personal data included):**

#### **External Processor:**

- Leadership Circle LLC, in line with their privacy notice;
- The Greenhouse Group (including Greenhouse Group coach in charge of administering the 360° assessment for F4E), in line with their privacy notice;
- External coach: the data from the group reports may be used for coaching purposes by any external coach working for leadership development programme at F4E.

#### **F4E recipients:**



Group reports will be disclosed to all staff to provide feedback on the exercise and foster a feedback culture.

**Report to HR on trends for learning and development purpose (no personal data included):**

This report will be addressed to HR only and will contain a summary of the tendencies following the 360° exercise, for Learning & Development purpose. **External Processor:**

- The Greenhouse Group (including Greenhouse Group coach in charge of administering the 360° assessment for F4E), in line with their privacy notice;
- External consultant: the data from the HR report may be used for learning and development purpose by any external consultant working on leadership development at F4E.

**F4E recipients:**

- F4E Learning & Development HR team;
- Head of HR Unit

**Finally, and irrespective of the type of documents, the following recipients have access to the personal data processed:**

- IDM Manager, if necessary for support,
- ICT Officer responsible for the dedicated database, if necessary for technical support.
- Also, if appropriate and necessary for monitoring or inspection tasks, access may be given to: DPO and Anti-Fraud & Ethics Officer, Head and/ or responsible officer of LSU, IAC, IDOC

8) Transfers to third countries or International Organizations (Article 31.1 (e))

*If the personal data is transferred outside the EU, this needs to be specifically mentioned, since it increases the risks of the processing operation (Article 47 ff.).*

Data is transferred to third countries or International Organizations recipients:

Yes.....

No.....

If yes, specify to which country/IO:

If yes, specify under which safeguards and add reference :

- Adequacy Decision (from the Commission).....
- Memorandum of Understanding between public authorities/bodies.....
- Standard Data Protection Clauses (from the EDPS/Commission).....

- Binding Corporate Rules.....
- Others, e.g. contractual/agreements (subject to authorisation by the EDPS).....

Reference: Not applicable

### 9) Technical and organisational security measures (Articles 31.1(g) and 33)

*Please specify where the data is stored (paperwise and/or electronically) during and after the processing. Specify how it is protected ensuring “confidentiality, integrity and availability”. State in particular the “level of security ensured, appropriate to the risk”.*

Security measures are implemented to ensure integrity, confidentiality and availability of information. The default provisions include backups, centralized logging, software updates and continuous vulnerability assessment and follow-up. Specific provisions resulting from the characteristics of the information system may lead into the implementation of encryption, two factor authentication among others found relevant following a risk analysis.

### 10) Retention time (Article 4(e))

*How long is it necessary to retain the data and what is the justification for this retention period? If appropriate, differentiate between the categories of personal data. If the retention period is unknown, please indicate the criteria for determining it.*

The electronic HR file containing consent forms are retained by F4E for a period of two years following completion of the exercise provided there are no pending claims.

The exercise is considered completed when all reports (individual, group and on learning and development) are delivered.

Group reports and Report to HR on Learning & Development contain no personal data and are therefore kept indefinitely so as to allow F4E to ensure comparison of managerial capability within the organisation over time and monitoring of Learning & Development strategy in that respect.

F4E will contact the external provider after a period of 2 years following the completion of the exercise to request the deletion of the data from their server unless F4E continues utilising the services of the same provider. In any case, the data shall be deleted by the external provider after a maximum of 5 years following completion of the exercise. The exercise is considered completed when all reports (individual, group and on learning and development) are delivered.

#### 11) Information/Transparency (Article 14-15)

*Information shall be given in a concise, transparent and easily accessible form, using clear and plain language.*

A Privacy Notice ([F4E\\_D\\_2AJJJA](#)) is published in the F4E intranet, providing staff members with the information required under Regulation 2018/1725 of 23 October 2018 'on the protection of individuals with regard to the processing of personal data by the Union institutions, bodies, offices and agencies and on the free movement of such data'. O.J 21.11.2018, L295/39.

Declaration on confidentiality / data protection of the external processors are also published on F4ENet. Furthermore, the privacy statement concerning the Leadership Circle assessment tool as such is available at every login screen and requires every user to acknowledge agreement before they are allowed to complete the login. If they do not select that they agree they do not login.

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