**Annex I - Classification form[[1]](#footnote-1)**

To be filled in by all applicants

This application is made as:

* **An organisation** **(Type C member)**.

Transparency Register identification number: […]

***Nota Bene concerning Type B and C members***: although registration in the Transparency Register (TR) is required in order to be appointed as a Type B or C member of an expert group, it is not mandatory for the application procedure. Thus, interested individuals and organisations that at the time of the application are not featured yet on TR and, as a consequence, do not have a TR identification number, may still apply. However, should the applicant be selected as a result of the call for applications, it shall register in the Transparency Register as a condition to be appointed as a Type B or C member.

\*\*\*

To be filled in by organisations applying to be appointed as members

This application is made as the following **type of organisation**: (***please select only one option, taking into account the definitions indicated below***).

* a) Academia, research Institutes and Think Tanks
* b) Banks/Financial institutions
* c) Companies/groups
* d) Law firms
* e) NGOs
* f) Professionals’ associations
* g) Professional consultancies
* h) Trade and business associations
* i) Trade unions
* j) Other (please specify):

Definitions for organisation types

**Academia, Research Institutes and Think Tanks**

Universities, schools, research centers, think tanks and other similar bodies performing academic and/or educational activities.

**Banks/Financial institutions**

Banks and other similar bodies providing financial services, including financial intermediation. All sorts of banks should be classified within this category, including national central banks.

**Companies/groups**

Individual companies or groups of companies operating in the business sector, whether they are national companies or multinational ones.

**Law firms**

Business entities formed by one or more lawyers to engage in the practice of law. The primary service rendered by a law firm is to advise clients (individuals or corporations) about their legal rights and responsibilities, and to represent clients in civil or criminal cases, business transactions, and other matters in which legal advice and other assistance are sought.

**NGOs**

Non-profit organisations which are independent from public authorities and commercial organisations. Some NGOs are organised around specific issues, such as environment, consumer affairs, health and human rights.

**Professionals’ associations**

Non-profit organisations seeking to further the interests of individuals engaged in a particular profession, such as physicians, nurses, architects, engineers and lawyers. Professionals’ associations are different from business associations, as they promote and defend the interests of individuals carrying on a specific profession, not the interests of companies operating in the business sector.

**Professional consultancies**

Firms carrying on, on behalf of clients, activities involving advocacy, lobbying, promotion, public affairs and relations with public authorities.

**Trade and business associations**

Private bodies representing the interests of its members operating in the business sector.

**Trade unions**

Organisations of workers. The most common activities performed by trade unions include the negotiation of [wages](https://en.wikipedia.org/wiki/Wage), work rules, rules governing hiring, firing and promotion of workers.

**Other organisations**

Organisations which are not possible to classify in any other category.

\*\*\*

To be filled in by organisations applying to be appointed as members

The applicant shall represent the following **interest**: (***please select one or more options, taking into account the definitions indicated below***):

* a) Academia/Research
* b) Civil society
* c) Employees/Workers
* d) Finance
* e) Industry
* f) Professionals
* g) SMEs
* h) Other (please specify):

Definitions for interests represented

**Academia/Research**

Universities, schools, research centers, think tanks and other similar bodies performing academic and/or educational activities.

**Civil society**

Civil society can be defined as the aggregate of non-governmental organisations and institutions that manifest interests and will of citizens or as individuals and organisations in a society which are independent of the government.

**Employees/workers**

Individuals working part-time or full-time under a contract of employment whether oral or written, express or implied, and having recognized rights and duties.

**Finance**

The management of revenues or the conduct or transaction of money matters, as in the fields of banking, insurance and investment.

**Industry**

Companies and groups of companies whose number of employees and turnover or balance sheet total are higher than the ones of SMEs (see below).

**Professionals**

Individuals operating in a particular profession, such as physicians, nurses, architects, engineers and lawyers.

**SMEs**

"SME" stands for small and medium-sized enterprises – as defined in EU law: [EUrecommendation 2003/361](http://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=OJ:L:2003:124:0036:0041:EN:PDF) http://ec.europa.eu/wel/images/doc_icons/f_pdf_16.gif.

The main factors determining whether a company is an SME are:

1. **number of employees** and
2. either **turnover** **or** **balance sheet total**.

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| Company category | Employees | Turnover | or | | Balance sheet total |
| Medium-sized | < 250 | ≤ € 50 m | | ≤ € 43 m | |
| Small | < 50 | ≤ € 10 m | | ≤ € 10 m | |
| Micro | < 10 | ≤ € 2 m | | ≤ € 2 m | |

These ceilings apply to the figures for individual firms only. A firm which is part of larger grouping may need to include employee/turnover/balance sheet data from that grouping too.

**Other interest**

Interest which is not possible to classify in any other category.

\*\*\*

To be filled in by organisations applying to be appointed as members

Please select one **or more policy areas** in which your organisation operate(s):

* Agriculture
* Archaeology
* Architecture
* Audiovisual and media
* Audit
* Banking
* Biodiversity
* Civil protection
* Civil service
* Climate
* Competition
* Conservation
* Consumer affairs
* Culture
* Cultural Heritage
* Cultural Landscape
* Customs
* Development
* Disaster Risk Reduction
* Economy
* Education
* Employment and social affairs
* Energy
* Engineering (chemical)
* Engineering (civil)
* Engineering (infrastructure)
* Engineering (IT)
* Engineering (maritime)
* Engineering (space policy)
* Engineering (space research)
* Enlargement
* Environment
* Equal opportunities
* External relations
* External trade
* Finance
* Fisheries and aquaculture
* Food safety
* Forestry
* Fundamental rights
* Humanitarian aid
* Industry
* Information society
* Innovation
* Insurance
* Labour
* Land management
* Law (civil)
* Law (corporate)
* Law (criminal)
* Law (taxation)
* Linguistics and Terminology
* Livestock
* Medical profession
* Migration
* Natural resources
* Plant production
* Public affairs
* Public health
* Public relations
* Raw materials
* Research
* Science
* Science diplomacy
* Security
* Smart specialisation
* Social service
* Space and Satellites (policy)
* Space and Satellites (research)
* Sport
* Statistics
* Sustainable Development
* Systemic eco-innovation
* Tax
* Trade
* Training
* Transport
* Urban development
* Water
* Youth
* Other

For organisations applying to be appointed as members

Name of the organisation: ………………….

Surname of the representative proposed: ………………….

First name of the representative proposed: ………………….

Surname of the person applying on behalf of the organisation: ………………….

First name of the person applying on behalf of the organisation: ………………….

Date: ………………….

Signature …………………..

**Annex II: Selection criteria form[[2]](#footnote-2)**

Applicants are requested to describe how they fulfil the selection criteria listed in this call.

|  |  |
| --- | --- |
| Proven direct experience in or knowledge of SME issuance, SME investment, or specialised intermediation services. Particular attention would be given to applications from SME issuers, SME investors and financial intermediaries specialised in SME services (e.g. specialised brokers, SME listing, SME market operators, SME research providers, etc.). |  |
| Technical competence, experience and hierarchical level of the proposed representatives. |  |
| Good knowledge of the English language allowing active participation in the discussions and drafting contribution to the group’s deliverables |  |
| Ability to commit sufficient time to the group’s work over the foreseen period (up to a maximum of six months, extendable by a maximum of two months) |  |
| Knowledge of the European financial system and/or EU financial regulatory framework will be considered positively, including regarding the functioning of public markets, SME Growth Markets in particular. |  |

For organisations applying to be appointed as members

Name of the organisation: ………………….

Surname of the representative proposed: ………………….

First name of the representative proposed: ………………….

Surname of the person applying on behalf of the organisation: ………………….

First name of the person applying on behalf of the organisation: ………………….

Date: ………………….

Signature …………………..

**Annex III Privacy Statement**

**PROTECTION OF YOUR PERSONAL DATA**

**This is a generic privacy statement, which can be used for any Commission expert group. For details on the personal data collected and further processed for the purpose of managing a specific expert group, the data subjects should consult the specific privacy statement for that expert group.**

**Processing operation:** *Selection of members of Commission expert groups and other similar entities[[3]](#footnote-3) and publication of personal data on the Register of Commission expert groups and other similar entities ("the Register of expert groups").*

**Data Controller:**

* *Secretariat-General, Unit G4 (for the processing operation* “Providing a public register of Commission expert groups and other similar entities”, DPR-EC-00656)*, and*
* *DG FISMA (for the processing operation* “Selection of members of Commission expert groups *and other similar entities*”[[4]](#footnote-4), DPR-EC-01066*).*

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11. **Introduction**

The European Commission (hereafter ‘the Commission’) is committed to protect your personal data and to respect your privacy. The Commission collects and further processes personal data pursuant to [Regulation (EU) 2018/1725](https://eur-lex.europa.eu/legal-content/EN/TXT/?uri=uriserv:OJ.L_.2018.295.01.0039.01.ENG&toc=OJ:L:2018:295:TOC) of the European Parliament and of the Council of 23 October 2018 on the protection of natural persons with regard to the processing of personal data by the Union institutions, bodies, offices and agencies and on the free movement of such data.

This privacy statement explains the reasons for the processing of your personal data, the way we collect, handle and ensure protection of all personal data provided, how that information is used and what rights you have in relation to your personal data. It also specifies the contact details of the responsible Data Controller with whom you may exercise your rights, of the Data Protection Officer and of the European Data Protection Supervisor.

This privacy statement concerns the following processing operations:

(1) “selection of members of Commission expert groups and other similar entities” undertaken by the Commission department which runs the selection process for your expert group and which is the Data Controller for the selection process DG FISMA, and

(2) “publication of personal data on the Register of expert groups and other similar entities” undertaken by the Commission, Secretariat-General, Unit G.4 which is the Data Controller together with the Commission department managing your expert group.

As a rule, the selection of expert group members is carried out via public calls for applications, except for Member States’ authorities and other public entities and for certain representative bodies established by Union legislation for advice in specific areas.

The Register of expert groups and other similar entities is a public database containing a list of Commission expert groups and other similar entities and their sub-groups. For each expert group, the Register provides valuable information including personal data on the members of the expert groups, and their alternate, if any, members’ representatives, as well as of the groups' observers and their representatives. The Register also includes documents that are produced and discussed by expert groups and which can contain personal data.

For the purpose of this privacy statement and the corresponding records, the term “expert groups” describes Commission expert groups in the sense of Article 2(1) of Commission Decision C(2016)3301[[5]](#footnote-5) and their sub-groups, as well as other similar entities in the sense of Article 2(2) of Commission Decision C(2016)3301 and their sub-groups.

1. **Why and how do we process your personal data?**

Purpose of the processing operations:

The Data Controllers collect and use your personal data to manage Commission expert groups, in particular by selecting their members and observers, and to ensure transparency on expert groups’ membership and activities. In that context, in order to select among the applicants who best fulfil the selection criteria mentioned in the call for applications, Commission services collect and assess personal information of candidate members and observers of the expert groups, of representatives of candidate members and observers, and of immediate family members of candidate members and observers appointed in personal capacity.

Furthermore, Commission services collect and assess personal information of observers and members’ and observers’ representatives of the expert groups which are not selected through a public call for applications.

For candidates, personal data is stored by the Commission service managing the expert group. Some types of personal data of individuals appointed as members (either appointed in personal capacity to act independently and in the public interest or to represent a common interest shared by stakeholders in a particular policy area) are made publicly available on the Register of expert groups (as described under Headings 4 and 5 of this privacy statement). The names of the representatives of organisations, Member States and other public entities, as well as the name of specific national departments or other public authority which they represent may also be made publicly available on the Register of expert groups.

Your personal data will not be used for an automated decision-making including profiling.

1. **On what legal ground(s) do we process your personal data**

We process your personal data, because processing is necessary for the performance of a task carried out in the public interest (Article 5(1)(a) of Regulation (EU) 2018/1725), since it allows for the selection of members of expert groups (individuals appointed as members in a personal capacity, individuals appointed to represent a common interest and organisations) and also increases the transparency on expert groups. Processing is also necessary to comply with a legal obligation to which the controller is subject (Article 5(1)(b) of Regulation (EU) 2018/1725). The Union act for such necessary processing under Article 5(1)(a) and (b) of Regulation (EU) 2018/1725 is Commission Decision C(2016)3301 of 30 May 2016 establishing horizontal rules on the creation and operation of Commission expert groups and in particular Articles 10 and 22 thereof.

As regards, in particular, the declarations of interests filled in by candidate members to be appointed in a personal capacity in expert groups, the processing of personal data serves the public interest of enabling the Commission to verify in the process of selection the experts' independence in providing advice to the Commission. Furthermore, the public disclosure of declarations of interests of those experts once appointed allows for public scrutiny of the interests declared by these experts, which is necessary in order to ensure public confidence in the independence of these experts. The public disclosure of declarations of interests also ensures a high degree of transparency with respect to the membership of expert groups and aims at contributing to fostering the integrity of the experts in question.

Any publication of names of the representatives of organisations, Member States’ authorities and other public entities in the Register of expert groups is based on consent (Article 5(1)(d) of Regulation (EU) 2018/1725).

1. **Which personal data do we collect and further process***?*

In order to carry out these processing operations, the Data Controller may collect the following categories of personal data:

* *Name;*
* *Function;*
* *Contact details (for example, e-mail address, telephone number, mobile telephone number, fax number, postal address, company and department, country of residence, IP address);*
* *Information for the evaluation of selection criteria or eligibility criteria (for example, expertise, technical skills and languages, educational background, professional experience, including details on current and past employment);*
* *Nationality;*
* *Gender;*
* *Interest represented (only for individuals applying to be appointed as members of expert groups or sub-groups representing a common interest shared by stakeholders in a particular policy area and for organisations applying to be appointed as members of expert groups or sub-groups, as well as for their designated representatives);*
* *Information included in the declarations of interests, including personal data of immediate family members as required in the declaration of interests (only for individuals applying to be appointed as members of expert groups or sub-groups in a personal capacity).*

The provision to the Commission service of the personal data required is mandatory to meet alegalrequirement of selecting members of expert groups as set in Commission Decision C(2016)3301. In principle, the types of personal data listed above (with the exception of contact details and information for the evaluation of selection criteria or eligibility criteria) are made publicly available on the Register of expert groups, in order to comply with the legal requirement to ensure transparency on the composition and functioning of Commission expert groups. If you do not provide the personal data required, possible consequences are that you will not be considered for selection as a member of an expert group or, if already selected, your membership will be suspended.

With the prior freely given, specific, informed and unambiguous consent of the representatives of organisations, Member States’ authorities and other public entities, their names may also be published on the Register.

1. **How long do we keep your personal data?**

The Data Controller only keeps your personal data for the time necessary to fulfil the purpose of collection or further processing. The following modalities apply:

* The competent Commission services keep personal data submitted to them as part of rejected applications for three years after the end of the selection process and do not process them for other purposes; these personal data are not published on the Register of expert groups.
* The expert group and some types of personal data of its members and observers, as described in Heading 4, are published on the Register of expert groups during the duration of existence of the expert group.
* When an individual is no longer member or observer or representative of a member or observer of an expert group listed in the Register of expert groups, all personal data related to this individual, including a declaration of interests, is removed from the Register and is therefore not public anymore.
* The competent Commission services keep personal data for the period during which the relevant individual is a member or an observer or a representative of a member or of an observer of the group and for five years after the date on which the individual is no longer member or observer or representative of a member or observer of the group.
* When a group is closed down, it remains published in the Register of expert groups for five years, with the indication 'Closed'. Those types of personal data other than the declarations of interests of members and observers appointed in personal capacity that were published while the group was active remain visible on the Register of expert groups during these five years. On the contrary, the said declarations of interests are removed from the Register after closure of a group and are therefore not public anymore; they are however kept by the competent Commission service for a period of five years after the closure of the group.
* An XML file is created daily with all the information regarding active groups. All versions of this file, showing the situation of the Register of expert groups as of the day it was created, are stored in a file server for 5 years and are not public.

1. **How do we protect and safeguard your personal data?**

Personal data submitted in paper form is stored in the competent Commission service. All personal data in electronic format (e-mails, documents, databases, uploaded batches of data, etc.) are stored on the servers of the Commission *(or of its contractors (processors), if contractors are engaged to assist the controller).* All processing operations are carried out pursuant to the [Commission Decision (EU, Euratom) 2017/46](https://eur-lex.europa.eu/legal-content/EN/TXT/?qid=1548093747090&uri=CELEX:32017D0046) of 10 January 2017 on the security of communication and information systems in the European Commission.

In order to protect your personal data, the Commission has put in place a number of technical and organisational measures. Technical measures include appropriate actions to address online security, risk of data loss, alteration of data or unauthorised access, taking into consideration the risk presented by the processing and the nature of the personal data being processed. Organisational measures include restricting access to the personal data solely to authorised persons with a legitimate need to know for the purposes of this processing operation.

*If the controller uses (a) contractor(s) (processor(s)) to assist the controller, this will be indicated in the specific privacy statement and the following paragraph will be provided:*

The Commission’s processors (contractors) are bound by a specific contractual clause for any processing operations of your personal data on behalf of the Commission. The processors have to put in place appropriate technical and organisational measures to ensure the level of security, required by the Commission.

1. **Who has access to your personal data and to whom is it disclosed?**

Access to your personal data collected in the course of the process of selection of members of expert groups is provided to the Commission staff authorised for carrying out this processing operation and to other authorised Commission staff according to the “need to know” principle. Such staff abide by statutory, and when required, additional confidentiality agreements.

Certain personal data collected, as explained in Headings 4 and 5, is publicly available on the Register of expert groups.

The XML files referred to in Heading 5 are only accessible to a reduced number of users in the Secretariat-General (System Owner) and IT development team within the Commission (System Supplier).

Please note that pursuant to Article 3(13) of Regulation (EU) 2018/1725, public authorities (e.g. Court of Auditors, EU Court of Justice) which may receive personal data in the framework of a particular inquiry in accordance with Union or Member State law shall not be regarded as recipients. The further processing of those data by those public authorities shall be in compliance with the applicable data protection rules according to the purposes of the processing.

The information we collect will not be given to any third party, except to the extent and for the purpose we may be required to do so by law.

1. **What are your rights and how can you exercise them?**

You have specific rights as a ‘data subject’ under Chapter III (Articles 14-25) of Regulation (EU) 2018/1725, in particular the right to access your personal data and to rectify them in case your personal data is inaccurate or incomplete. Under certain conditions, you have the right to erase your personal data, to restrict the processing of your personal data, to object to the processing and the right to data portability.

You have the right to object to the processing of your personal data on grounds relating to your particular situation in accordance with Article 23(1) of Regulation (EU) 2018/1725.

As indicated in Heading 4, if you are a representative of an organisation, Member State or another public entity, you may consent to have your name published on the Register of expert groups. You can withdraw your consent at any time by notifying the Data Controller. The withdrawal will not affect the lawfulness of the processing carried out before you have withdrawn the consent.

Finally, and only as regards the publication of your name on the Register of expert groups, you may submit a request to the competent Commission service for a derogation where justified on compelling legitimate grounds in relation to your specific situation (such as the case where the publication of your name on the Register of expert groups could endanger your security or integrity).

You can exercise your rights by contacting the Data Controller or, in case of conflict, the Data Protection Officer. If necessary, you can also address the European Data Protection Supervisor. Their contact information is given under Heading 9 below.

Where you wish to exercise your rights in the context of one or several specific processing operations, please provide their description (i.e. their Record reference(s) as specified under Heading 10 below) in your request.

Any request for access to personal data will be handled within one month. Any other request mentioned above will be addressed within 15 working days.

1. **Contact information**

* **The Data Controller**

Regarding the personal data collected in the course of the process of selection of the members of the expert groups, if you would like to exercise your rights under Regulation (EU) 2018/1725, or if you have comments, questions or concerns, or if you would like to submit a complaint, please contact the functional mailbox of the Commission service in charge of a specific expert group (i.e. service, indicated in the specific privacy statement for that expert group).

Likewise, as regards the data published on the Register of expert groups, please contact the corresponding Data Controller Secretariat-General, Unit G4: [SG-EXPERT-GROUPS@ec.europa.eu](mailto:SG-EXPERT-GROUPS@ec.europa.eu).

* **The Data Protection Officer (DPO) of the Commission**

You may contact the Data Protection Officer ([DATA-PROTECTION-OFFICER@ec.europa.eu](mailto:DATA-PROTECTION-OFFICER@ec.europa.eu)) with regard to issues related to the processing of your personal data under Regulation (EU) 2018/1725.

* **The European Data Protection Supervisor (EDPS)**

You have the right to have recourse (i.e. you can lodge a complaint) to the European Data Protection Supervisor ([edps@edps.europa.eu](mailto:edps@edps.europa.eu)) if you consider that your rights under Regulation (EU) 2018/1725 have been infringed as a result of the processing of your personal data by the Data Controller.

1. **Where to find more detailed information?**

The Commission Data Protection Officer (DPO) publishes the register of all processing operations on personal data by the Commission, which have been documented and notified to him. You may access the register via the following link: <http://ec.europa.eu/dpo-register>.

These specific processing operations will be included in the DPO’s public register with the following Record references: DPR-EC-01066 and DPR-EC-00656.

1. This form must be filled in, signed and returned with the application. [↑](#footnote-ref-1)
2. This form must be filled in, signed and returned with the application. [↑](#footnote-ref-2)
3. Provisions included in this privacy statement referring to expert groups equally apply to their sub-groups. [↑](#footnote-ref-3)
4. The Commission department responsible for the management of the expert group and the DPMS record number need to be specified in the privacy statement attached to the call. [↑](#footnote-ref-4)
5. Commission Decision C(2016)3301 of 30 May 2016 establishing horizontal rules on the creation and operation of Commission expert groups. [↑](#footnote-ref-5)