



D-IA

RECORD OF PROCESSING ACTIVITY

NAME OF PROCESSING ACTIVITY¹:

CENTRAL BANKING INTERNAL AUDITORS (CBIA) SURVEY
ON PROCUREMENT AND SELECTION OF EXTERNAL AUDITORS

1. Controller(s) of data processing activities

Controller: European Central Bank (ECB)

Organisational unit responsible for the processing activity: Directorate Internal Audit

Data Protection Officer (DPO): DPO@ecb.europa.eu

2. Who is actually conducting the processing activity?

☒ The data is processed by the ECB itself

The organisational unit conducting the processing activity is:

Directorate Internal Audit – Division Audit Mission 1

¹ **Personal data** is any information relating to an identified or identifiable natural person, i.e. someone who can be identified, directly or indirectly, in particular by reference to an identifier such as a name, an identification number, location data, an online identifier or to one or more factors specific to the physical, physiological, genetic, mental, economic, cultural or social identity. This information may, for example, be the name, date of birth, a telephone number, biometric data, medical data, a picture, professional details, etc.

Processing means any operation or set of operations which is performed on personal data or on sets of personal data, whether or not by automatic means, such as collection, recording, organisation, structuring, storage, adaptation or alteration, retrieval, consultation, use, disclosure by transmission, dissemination or otherwise making available, alignment or combination, restriction, erasure or destruction.

- ☐ The data is processed by a third party (contractor) or the processing operation is conducted together with an external third party [mention third party]

Link to privacy statement if available:

3. Purpose of the processing

Article 27(1) of the [ECB/ESCB Statute](#) specifies:

“The accounts of the ECB and national central banks shall be audited by independent external auditors recommended by the Governing Council and approved by the Council.”

The ECB is conducting a benchmarking study with comparator institutions in relation to such procurements. To allow the ECB to seek additional input from individual respondents, the names, email addresses and organisations of the respondents will be collected.

4. Description of the categories of data subjects

Whose personal data are being processed?

- ☐ ECB staff
- ☐ Externals (agency staff, consultants, trainees or secondees)
- ☒ NCB or NCA counterparts (in the ESCB or SSM context)
- ☐ Visitors to the ECB, including conference participants and speakers
- ☐ Contractors providing goods or services
- ☐ Complainants, correspondents and enquirers
- ☐ Relatives of the data subject
- ☒ Other (please specify): Central banking institutions outside of the ESCB

5. Description of the categories of personal data processed

(a) General personal data:

The personal data contains:

- ☒ Personal details (name, address etc)
- ☐ Education & Training details
- ☒ Employment details
- ☐ Financial details
- ☐ Family, lifestyle and social circumstances
- ☐ Goods or services provided
- ☐ Other (please give details):

(b) Special categories of personal data

The personal data reveals:

- ☐ Racial or ethnic origin
- ☐ Political opinions
- ☐ Religious or philosophical beliefs
- ☐ Trade union membership
- ☐ Genetic data, biometric data for the purpose of uniquely identifying a natural person or data concerning health
- ☐ Data regarding a natural person's sex life or sexual orientation

6. The categories of recipients to whom the personal data have been or will be disclosed, including the recipients of the data in Member States, third countries or international organisations

- ☒ Data subjects themselves
- ☒ Managers of data subjects
- ☒ Designated ECB staff members
- ☒ Designated NCB or NCA staff members in the ESCB or SSM context
- ☒ Other (please specify): The ECB's Audit Committee. Members of the CBIA may also receive the aggregated results.

7. Transfers to/Access from third countries or an international organisation

Data are processed by third country entities:

☐ Yes

Specify to which countries:

Specify under which safeguards:

- ☐ Adequacy Decision of the European Commission
- ☐ Standard Contractual Clauses
- ☐ Binding Corporate Rules
- ☐ Administrative arrangement containing enforceable and effective data subject rights

If the third country's legislation and/or practices impinge on the effectiveness of appropriate safeguards, the personal data can only be transferred to, accessed from or processed in such third country when sufficient 'supplementary measures' are taken to ensure an essentially equivalent level of protection to that

guaranteed within the EEA. These supplementary measures are implemented on a case-by case basis and may be technical (such as encryption), organisational and/or contractual.

☒ No

8. Retention time

The personal data will be kept for a maximum of one year after the closure of the survey in line with the [ECB's Filing and Retention Plan](#).

For the data stored in MS forms, the retention periods as outlined in the [Privacy statement for the Microsoft Forms application](#) apply.