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ECB-PUBLIC

RECORD OF PROCESSING ACTIVITY
Internal whistleblowing reporting tool

1. Controller(s) of data processing activities

Controller: European Central Bank (ECB)

Contact details:

European Central Bank

Sonnemannstrasse 22

60314 Frankfurt am Main Germany

E-mail: info@ecb.europa.eu

Organisational unit responsible for the processing activity:

- Directorate Internal Audit (DIA)
- the President of the ECB
- the Vice-President of the ECB

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:

Audit Support and Investigations Division (D-IA ASI), the President or Vice-President of the ECB.

Under certain circumstances the data may be processed by a third party (contractor) or the activity may be conducted together with an external party.

3. Purpose of the processing

D-IA ASI, the President of the ECB or Vice-President of the ECB processes personal data related to the preliminary assessment stage with aim to clarify the facts and circumstances which may involve a breach by any persons involved in the ECB’s activities as regards the assessment, decision and follow-up of information on breaches reported through the whistleblowing tool.

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): The ECB also collects sensitive information and personal data of any person involved in the ECB’s activities alleged to have committed a breach, as well as other parties involved who are mentioned in breach reports submitted via the whistleblowing tool or in a resulting case file.

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): soft data (allegations, declarations); social, behavioural data and other types of data specific to the processing operation, such as: legal qualification of the conduct or misconduct according to the ECB employment legal framework or other obligations; disciplinary sanctions imposed to the person concerned. Information regarding administrative proceedings and/or any other regulatory investigations including financial liability. D-IA ASI may access and otherwise process all staff, records, information, systems and property deemed necessary to carry out its responsibilities.

(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
- Other categories of personal data: information relating to criminal proceedings; sanction and/or other administrative penalty; depending on the case, any other category of personal data may be processed.

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): externals (consultants, trainees or secondees) working on/supporting an investigation; when applicable, members of the ECB Governing Council and/or the Supervisory Board as the case may require; when applicable, on a need to know basis and in compliance with the relevant legal framework, bodies charged with monitoring or inspection tasks in application of EU law (e.g. European Court of Auditors, European Anti-fraud Office (OLAF), European Public Prosecutor Office (EPPO), the European Data Protection Supervisor) and competent national authorities.

7. Retention time

When the preliminary assessment is carried out but it is clear that the case should not be referred to OLAF or EPPO or is not within the scope of the whistleblowing procedure, the report will be deleted as soon as possible (or referred to the right channel).

In any case, personal data will be deleted promptly and within two months of completion of the preliminary assessment phase.

If OLAF or EPPO starts an investigation it is not necessary for the ECB to keep the information for a longer period. In case OLAF and EPPO decides not to start an investigation, the information will be deleted from the IT whistleblowing tool without delay.

8. Restrictions

Pursuant to Article 25 of Regulation (EU) 2018/1725 in conjunction with Decision (EU) 2022/2359, the ECB may restrict the data subject rights prescribed in Articles 14-22, 35-36, and 4 in so far as its provisions correspond to the rights and obligations provided for in Articles 14 to 22 of the Regulation (EU) 2018/1725. The restrictions may be applied where the exercise of those rights would endanger any of the activities referred to in Article 3(1) of Decision (EU) 2022/2359. Such a restriction shall be lifted as soon as the circumstances that justified the restriction no longer apply.