

## RECORD OF PERSONAL DATA PROCESSING ACTIVITY according to Article 31 of Regulation (EU) 2018/1725

### ► EIOPA's internal control processes

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#### General information

Introduction
EIOPA, as a European Authority, is committed to protect individuals with regard to the processing of their personal data in accordance with Regulation (EU) No 2018/1725 (further referred as the Regulation) <sup>1</sup> .
Contact Details of Data Controller(s)
Fausto Parente, Executive Director Westhafenplatz 1, 60327 Frankfurt am Main, Germany <a href="mailto:fausto.parente@eiopa.europa.eu">fausto.parente@eiopa.europa.eu</a>
Contact Details of the Data Protection Officer
Eleni Karatza Westhafenplatz 1, 60327 Frankfurt am Main, Germany <a href="mailto:dpo@eiopa.europa.eu">dpo@eiopa.europa.eu</a>
Contact Details of Processor
EIOPA's Team/Unit/Department responsible for the processing: Internal control; <a href="mailto:internal.control@eiopa.europa.eu">internal.control@eiopa.europa.eu</a>

<sup>1</sup> Regulation (EU) 2018/1725 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, and repealing Regulation (EC) No 45/2001 and Decision No 1247/2002/EC.

## Description and Purpose of the Processing

Description of Processing
<p>On behalf of the Management Board and the Executive Director, the Internal Control function conducts verifications, assessments and reviews in different areas of EIOPA's activities. In particular, in the course of its control verifications, the Internal Control function has access to all data (including personal data) held by EIOPA and the department/unit/team under review and can also request access to the data held by third parties having contractual relations with the latter. Examples of such control activities are:</p> <ul style="list-style-type: none"> <li>- Audit recommendations follow up and monitoring;</li> <li>- Sensitive functions assessment and monitoring of the relevant register;</li> <li>- Ex-post controls of HR (e.g. recruitment campaigns, P-files, leaves, etc) and financial operations (e.g. contracts, invoices, payments, etc);</li> <li>- ABAC verification of access rights;</li> <li>- Exceptions reporting (e.g. examples mentioned above).</li> </ul> <p>The aim of the above operations is not to check whether the information provided by the data subjects is correct but to verify if the processes have been duly followed by EIOPA.</p>
Purpose (s) of the processing
<p> <input type="checkbox"/> Staff administration  <input type="checkbox"/> Relations with external parties  <input type="checkbox"/> Procurement and accounting  <input type="checkbox"/> Administration of membership records  <input checked="" type="checkbox"/> Auditing  <input type="checkbox"/> Information administration  <input checked="" type="checkbox"/> Other (please give details): Any control activity that might be required         </p>
Lawfulness of Processing
<ul style="list-style-type: none"> <li>• Legal Basis justifying the processing:            EIOPA's Financial Regulation, Article 30;            -MB Decision adopting the Revised Internal Control Framework (EIOPA-MB-18/122);            -ED Decision on Ex-post verification of HR operation (EIOPA-19/433);            -ED Decision on Ex-post verification of financial transactions (EIOPA-19/106);            -ED Decision on the Identification and Management of sensitive functions (EIOPA-18/539);            -Procedure on Management of Exception and Non-compliance events (EIOPA-2019/431)         </li> <li>• Processing is necessary:             <ul style="list-style-type: none"> <li><input checked="" type="checkbox"/> for the performance of a task carried out in the public interest – Article 5(1)(a) of the Regulation</li> <li><input type="checkbox"/> for compliance with a legal obligation to which the Controller is subject</li> </ul> </li> </ul>

<input type="checkbox"/> for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract <input type="checkbox"/> in order to protect the vital interests of the data subject or of another natural person Or <input type="checkbox"/> Data subject has given his/her unambiguous, free, specific and informed consent
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### Data Subject's Rights

Information on how to exercise data subject's rights
<p>Data subjects may exercise their data privacy rights provided in Articles 17 to 24 of the Regulation (EU) 1725/2018.</p> <p>Data subjects have the right to:</p> <ul style="list-style-type: none"><li>• access their personal data, receive a copy of them in a structured and machine-readable format or have them directly transmitted to another controller, as well as request their rectification or update in case they are not accurate.</li><li>• request the erasure of their personal data, as well as object to or obtain the restriction of their processing.</li><li>• withdraw their consent to the processing of their personal data at any time in case such processing is based solely on their consent.</li></ul> <p>For the protection of the data subjects' privacy and security, every reasonable step shall be taken to ensure that their identity is verified before granting access, or rectification, or deletion.</p> <p>Should data subjects wish to access/rectify/delete their personal data, or receive a copy of them/have it transmitted to another controller, or object to/restrict their processing, please contact [internal.control@eiopa.europa.eu] or <a href="mailto:DPO@eiopa.europa.eu">DPO@eiopa.europa.eu</a>.</p> <p><u>Complaint:</u></p> <p>Any complaint concerning the processing of the data subjects' personal data can be addressed to EIOPA's Data Protection Officer (<a href="mailto:DPO@eiopa.europa.eu">DPO@eiopa.europa.eu</a>). Alternatively, data subjects can also have at any time recourse to the European Data Protection Supervisor (<a href="http://www.edps.europa.eu">www.edps.europa.eu</a>).</p>

### Categories of Data Subjects & Personal Data

Categories of Data Subjects
<input checked="" type="checkbox"/> EIOPA permanent staff, Temporary or Contract Agents <input checked="" type="checkbox"/> SNEs or trainees

<input checked="" type="checkbox"/> Visitors to EIOPA (BOS, MB, WG, Seminars, Events, other) If selected, please specify: verification of reimbursements, bank accounts and legal entities. <input checked="" type="checkbox"/> Providers of good or services <input checked="" type="checkbox"/> Complainants, correspondents and enquirers <input checked="" type="checkbox"/> Relatives and associates of data subjects <input type="checkbox"/> Other (please specify):
Categories of personal data
<p><b>(a) General personal data:</b></p> <p>The personal data contains:</p> <input checked="" type="checkbox"/> Personal details (name, address etc) <input checked="" type="checkbox"/> Education & Training details <input checked="" type="checkbox"/> Employment details <input checked="" type="checkbox"/> Financial details <input checked="" type="checkbox"/> Family, lifestyle and social circumstances <input type="checkbox"/> Other (please give details):
<p><b>(b) Special categories of personal data</b></p> <p>The personal data reveals:</p> <input checked="" type="checkbox"/> Racial or ethnic origin <input type="checkbox"/> Political opinions <input type="checkbox"/> Religious or philosophical beliefs <input type="checkbox"/> Trade union membership <input type="checkbox"/> Genetic or Biometric data <input checked="" type="checkbox"/> Data concerning health, sex life or sexual orientation
<p>The processed personal data are found for example in P-files, recruitment files, Allegro, requests submitted to HR, contracts with external contractors, invoices, payrolls or bank accounts that are under verification in the context of a given exercise.</p>

## Categories of Recipients & Data Transfers

Recipient(s) of the data
<input type="checkbox"/> Managers of data subjects <input checked="" type="checkbox"/> Designated EIOPA staff members If selected, please specify: ED, Internal Control Coordinator and Internal Control Specialist <input type="checkbox"/> Relatives or others associated with data subjects

<input type="checkbox"/> Current, past or prospective employers <input type="checkbox"/> Healthcare practitioners <input type="checkbox"/> Education/training establishments <input type="checkbox"/> Financial organisations <input type="checkbox"/> External contractor (the internal assessment could potentially be undertaken by an external contractor)  <input checked="" type="checkbox"/> Other (please specify): The Commission (in the framework of any audits conducted by the DG IAS, European Court of Auditors)
Data transfer(s)
<input checked="" type="checkbox"/> Within EIOPA or to other EU Institutions/Agencies/Bodies If selected, please specify: Each verification is concluded and summarized in specific reports (including annexes) which might contain few of the personal data verified, and which might be disclosed to ECA upon request.  <input type="checkbox"/> To other recipients within the EU (e.g. NCAs) <input type="checkbox"/> To third countries If selected, please specify: Whether suitable safeguards have been adopted: <input type="checkbox"/> Adequacy Decision of the European Commission <sup>2</sup> <input type="checkbox"/> Standard Contractual Clauses (SCC) <input type="checkbox"/> Binding Corporate Rules (BCR) <input type="checkbox"/> Administrative Arrangements between public Authorities (AA)  <input type="checkbox"/> To international organisations If selected, please specify the organisation and whether suitable safeguards have been adopted:
Data subjects could obtain a copy of SCC, BCR or AA here: NA

### Automated Decision Making

Automated Decision-making, including profiling
A decision is taken in the context of this processing operation solely on the basis of automated means or profiling:

<sup>2</sup> Third countries for which the European Commission has issued adequacy decisions are the following: [Adequacy decisions \(europa.eu\)](https://european-council.europa.eu/media/1000000000/1/declaration-adequacy-decisions-2022-01-28.pdf)

☒ No

☐ Yes

In case of an automated decision-making or profiling, please explain:

#### Retention Period & Security Measures

##### Retention period

How long will the data be retained?

For the purpose of each control verification exercise, the access to the data audited, including personal data, shall be granted for a maximum period of 1 year. Thereafter, access to the verified data shall be blocked. A new retention period will start running once a new verification exercise begins.

For further processing envisaged beyond the original retention period for historical, statistical or scientific purposes, please specify whether the personal data will be anonymised:

☐ No

☒ Yes

##### Technical & organisational security measures taken

Several technical and organisational measures have been adopted in order to ensure the optimum security of the documents and personal data collected in the context of the procedures described under section 'Description and Purpose of the Processing'.