



Record of processing activity

ADMINISTRATIVE INQUIRIES AND DISCIPLINARY PROCEEDINGS AT THE EBA

Record of EBA activities processing personal data, based on Article 31 of Regulation (EU) 2018/1725 (EUDPR)

Nr	Item	Description
Part 1 - Article 31 Record (publicly available)		
1	Last update of this record	11/05/2021
2	Reference number	EBA/DPR/2021/2
3	Name and contact details of controller	Controller: European Banking Authority, Tour Europlaza, 20 avenue André Prothin, CS 30154, 92927 Paris La Défense CEDEX, France Contact: ExecutiveOffice@eba.europa.eu
4	Name and contact details of DPO	dpo@eba.europa.eu
5	Name and contact details of joint controller (where applicable)	Not applicable
6	Name and contact details of processor (where applicable)	Not applicable
7	Short description and purpose of the processing	The purpose of this processing is to analyse the collected information in order to establish the facts and circumstances of the case, with a view to determining whether there is a breach of the obligations under the Staff Regulations.
8	Description of categories of persons whose data the EDPS processes and list of data categories	Categories of data subjects: All staff members involved in events with a possible disciplinary dimension (including the person being investigated, witnesses, and alleged victims) and any other persons quoted in the file. Data categories: Basic personal information about the staff member concerned and other staff members involved, such as surname, first name, gender, age, name of line manager, hiring date, contractual category and grade, organisational entity; Allegations, declarations; Sensitive data (such as data concerning health, etc.); Emails exchanged by the affected individuals; Witness

Nr	Item	Description
		statements; Names of the administrative investigator and of the members of the Disciplinary Board
9	Time limit for keeping the data	<ul style="list-style-type: none"> • Files that have not given rise to administrative investigations: 2 years • Investigations with disciplinary consequences: 20 years • Investigations without disciplinary consequences: 5 years • Disciplinary procedures: 20 years
10	Recipients of the data	<p>The data collected will only be disclosed to the absolute minimum of persons involved in the administrative inquiry and/or disciplinary proceedings.</p> <p>This could involve amongst others the staff members concerned, the Appointing Authority (i.e. the EBA Executive Director), the Director of Operations or a person designated by the Appointing Authority to coordinate the disciplinary procedures, Human Resources, the Ethics Officer, the investigator(s), the person(s) designated to hold the hearing, the members of the Disciplinary Board (including Secretariat), the Legal and Compliance Unit, the Data Protection Officer or any other person involved in the procedure. All internal recipients of the data shall be required to sign a specific confidentiality declaration.</p>
11	Are there any transfers of personal data to third countries or international organisations? If so, to which ones and with which safeguards?	No
12	General description of security measures, where possible	<p>Technical measures include storing the case files electronically in a restricted area of the Document Management System. Only persons with a legitimate 'need to know' for the purposes of this processing operation have access to the personal data. Organisational measures include the use of locked closets, confidential settings in the emails and printing with badging.</p>
13	For more information, including how to exercise your rights to access, rectification, object and data portability (where applicable), see the data protection notice:	Link to data protection notice