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ECB-PUBLIC
UPDATABLE

RECORD OF PROCESSING ACTIVITY

Enforcement and sanctioning procedures

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 General Secretariat to the Supervisory Board/Enforcement and Sanctions Division (DGSSB/ESA)

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:
DGSSB/ESA

3. Purpose of the processing

Investigations into alleged breaches in line with Articles 9 and 18 of the [Regulation \(EU\) No 1024/2013 of 15 October 2013](#) conferring specific tasks on the European Central Bank concerning policies relating to the prudential supervision of credit

institutions (SSM Regulation) and Articles 123 to 126 and 129 of the [Regulation \(EU\) No 468/2014 of 16 April 2014](#) establishing the framework for cooperation within the Single Supervisory Mechanism between the European Central Bank and national competent authorities and with national designated authorities (SSM Framework Regulation).

4. Description of the categories of data subjects

- ECB staff members
- Non-ECB staff members (agency staff, consultants, trainees or cost-free secondees working at the ECB)
- National Central Bank or national competent authority (NCA) counterparts (in the ESCB or SSM context)
- Other:
 - 1) *Natural persons related to the investigated supervised entity (e.g. board members, managers, staff), named in the investigation case file;*
 - 2) *natural persons from the category 1 above, who are suspected of having committed a breach or criminal offence;*
 - 3) *natural persons representing or assisting the supervised entity under investigation in the course of the investigation (e.g. legal advisors);*
 - 4) *natural persons (non-SSM staff) participating in the course of the investigating procedure (e.g. witnesses, experts);*
 - 5) *other natural persons named in the investigation case file and not included in the abovementioned categories of data subjects.*

5. Description of the categories of personal data processed

- Personal details (name, address etc)
- Education & Training details
- Employment details
- Financial details

6. The categories or recipients to whom the personal data have been or will be disclosed, including the recipient(s) of the data in Member States, third

countries or international organisations

- Data subjects themselves
- Designated ECB staff members
- Designated NCB or NCA staff members in the ESCB or SSM context
- Other:
 - Data may be disclosed to other recipients who are:*
 - *concerned by the investigatory procedure as per their request (exercise of the right of access to the file) or*
 - *addressees of an ECB request during the investigation (e.g. request to provide information addressed to the bank).*

7. Retention time

- 10 years for both sanctioning and enforcement proceedings:
- (i) where the investigation results in an ECB decision, the retention period will start on the day in which such decision is definitive (not subject to any further appeal) and, if applicable, completely enforced;
 - (ii) where the investigation is closed, the retention period will start on the day in which the decision to close the case is adopted.