### Personal data used

Personal data was used to contact people and organise meetings and interviews. Officials from managing authorities and internal and external auditors used personal details (name, address, email address, function, entity) in order to contact, organise meetings with, and interview the auditees. Personal data was used to contact Commission and MS officials involved in the design and/or implementation of the measures to be audited. Personal data was used to contact representatives of farmers' organisations, environmental organisations and other stakeholders. Personal data was used to contact Commission and MS officials involved in the design and/or implementation of the measures to be audited. Personal data was used to contact representatives of farmers' organisations, environmental organisations and other stakeholders. Personal data was used to contact Commission and MS authorities and to verify the personal data of farmers in order to check the quality of their personal data and the administrative procedures which led to their approval by the Commission. Personal data was used to contact people and to organise meetings and interviews. Officials from managing authorities and internal and external auditors used personal details (name, address, email address, function, entity) in order to contact, organise meetings with, and interview the auditees. Personal data was used to contact Commission and MS officials involved in the design and/or implementation of the measures to be audited. Personal data was used to contact representatives of farmers' organisations, environmental organisations and other stakeholders.

### Personal details: retention period

Personal data was retained for 7 years.

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<table>
<thead>
<tr>
<th>Reference</th>
<th>Date</th>
<th>Activity</th>
<th>Controller</th>
<th>Category of data owner</th>
<th>Category of data subject</th>
<th>Processing activity</th>
<th>Processing activity (within the EEA)</th>
<th>Processing activity (outside the EEA)</th>
<th>To which country(-ies) or international organisation(s) is/are the personal data transferred?</th>
<th>To which country(-ies) or international organisation(s) is/are the personal data transferred?</th>
<th>Reason for processing (further details see the ECA’s policy on data protection)</th>
<th>Where is the personal data stored in place(s)?</th>
<th>Processed and stored by</th>
<th>Policies, procedures and measures taken to protect the personal data (further details see the ECA’s policy on information security)</th>
</tr>
</thead>
</table>
Audit of the Commission’s actions to tackle plastic waste and to promote recycling (task 19CH1007)

The aim of the review is to assess the methodology used by the Commission to track the climate spending (and to ensure that the Commission spends its available climate budget in a transparent and accountable way) on the basis of the following:

- Literature review of the Commission’s actions to tackle plastic waste;
- Literature review of the Commission’s recycling actions;
- Analysis of the methodology used by the Commission to track climate spending;
- Assessment of the Commission’s performance in spending the climate budget in a transparent and accountable way.

Personal data was used to contact people, organise meetings, audit visits and interviews.

Commission: CHAMBER I (DGs, SCs, NCs, SAs, SAs, GSs, SECO), audit teams, experts, stakeholders;
Commission: CHAMBER I, AQC, LS, accounting departments;
National ministries, local authorities, stakeholders;
Non-governmental organisations (NGOs), experts, stakeholders.

Audits and examinations on environmental management systems (task 19CH1004)

The aim of the review is to assess the methodology used by the Commission to track the climate spending (and to ensure that the Commission spends its available climate budget in a transparent and accountable way) on the basis of the following:

- Literature review of the Commission’s environmental management systems (EMS);
- Assessment of the methodology used by the Commission to track climate spending;
- Assessment of the Commission’s performance in spending the climate budget in a transparent and accountable way.

Personal data was used to contact people, organise meetings, audit visits and interviews.

Commission: CHAMBER I (DGs, SCs, NCs, SAs, SAs, GSs, SECO), audit teams, experts, stakeholders;
Commission: CHAMBER I, AQC, LS, accounting departments;
National ministries, local authorities, stakeholders;
Non-governmental organisations (NGOs), experts, stakeholders.

Audit of the Commission’s actions to halt the loss of biodiversity on farmland in the EU (task 19CH1002)

The aim of the review is to assess the methodology used by the Commission to track the climate spending (and to ensure that the Commission spends its available climate budget in a transparent and accountable way) on the basis of the following:

- Literature review of the Commission’s actions to halt the loss of biodiversity on farmland in the EU;
- Assessment of the methodology used by the Commission to track climate spending;
- Assessment of the Commission’s performance in spending the climate budget in a transparent and accountable way.

Personal data was used to contact people, organise meetings, audit visits and interviews.

Commission: CHAMBER I (DGs, SCs, NCs, SAs, SAs, GSs, SECO), audit teams, experts, stakeholders;
Commission: CHAMBER I, AQC, LS, accounting departments;
National ministries, local authorities, stakeholders;
Non-governmental organisations (NGOs), experts, stakeholders.

Audit of the effectiveness of the EU actions to halt the loss of biodiversity off farmland in the EU (task 19CH1005)

The aim of the review is to assess the methodology used by the Commission to track the climate spending (and to ensure that the Commission spends its available climate budget in a transparent and accountable way) on the basis of the following:

- Literature review of the Commission’s actions to halt the loss of biodiversity off farmland in the EU;
- Assessment of the methodology used by the Commission to track climate spending;
- Assessment of the Commission’s performance in spending the climate budget in a transparent and accountable way.

Personal data was used to contact people, organise meetings, audit visits and interviews.

Commission: CHAMBER I (DGs, SCs, NCs, SAs, SAs, GSs, SECO), audit teams, experts, stakeholders;
Commission: CHAMBER I, AQC, LS, accounting departments;
National ministries, local authorities, stakeholders;
Non-governmental organisations (NGOs), experts, stakeholders.

Audit of the Commission’s actions to tackle the spread of invasive alien species in EU waters (task 19CH1008)

The aim of the review is to assess the methodology used by the Commission to track the climate spending (and to ensure that the Commission spends its available climate budget in a transparent and accountable way) on the basis of the following:

- Literature review of the Commission’s actions to tackle the spread of invasive alien species in EU waters;
- Assessment of the methodology used by the Commission to track climate spending;
- Assessment of the Commission’s performance in spending the climate budget in a transparent and accountable way.

Personal data was used to contact people, organise meetings, audit visits and interviews.

Commission: CHAMBER I (DGs, SCs, NCs, SAs, SAs, GSs, SECO), audit teams, experts, stakeholders;
Commission: CHAMBER I, AQC, LS, accounting departments;
National ministries, local authorities, stakeholders;
Non-governmental organisations (NGOs), experts, stakeholders.

Audit of the Commission’s actions to tackle the spread of invasive alien species on land (task 19CH1009)

The aim of the review is to assess the methodology used by the Commission to track the climate spending (and to ensure that the Commission spends its available climate budget in a transparent and accountable way) on the basis of the following:

- Literature review of the Commission’s actions to tackle the spread of invasive alien species on land;
- Assessment of the methodology used by the Commission to track climate spending;
- Assessment of the Commission’s performance in spending the climate budget in a transparent and accountable way.

Personal data was used to contact people, organise meetings, audit visits and interviews.

Commission: CHAMBER I (DGs, SCs, NCs, SAs, SAs, GSs, SECO), audit teams, experts, stakeholders;
Commission: CHAMBER I, AQC, LS, accounting departments;
National ministries, local authorities, stakeholders;
Non-governmental organisations (NGOs), experts, stakeholders.
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The report examined how the Court of Justice and the General Court managed their respective caseloads.

Audit on the Central European University and the Free University of Brussels (23/05/16)

Performance audit to assess whether the EU had correctly and efficiently used the funds allocated to the University under the 6th Framework Programme. The audit also reviewed the University’s internal management and control framework and its effectiveness.

Audit of the effectiveness of the EU support to a specific sector: digital economy and e-commerce (20/10/17)

Performance audit to assess whether the EU had correctly and efficiently used the funds allocated to the sector under the 6th Framework Programme. The audit also reviewed the sector’s internal management and control framework and its effectiveness.

Audit of the effectiveness of the EU support to one or more sectors (20/10/17)

Performance audit to assess whether the EU had correctly and efficiently used the funds allocated to the sectors under the 6th Framework Programme. The audit also reviewed the sectors’ internal management and control framework and their effectiveness.

Audit on the role of the EUI and Commission staff in coordination of the aid to the Most Deprived (task 19CH3021)

Personal data were used to contact people and other stakeholders. Interviews with EU staff and stakeholders, on-the-spot visits, sampling of transactions.

Audit of the effectiveness of the EU support to one or more sectors (20/10/17)

Performance audit to assess whether the EU had correctly and efficiently used the funds allocated to the sectors under the 6th Framework Programme. The audit also reviewed the sectors’ internal management and control framework and their effectiveness.

Audit of the effects of the EU’s financial support to the activities of private companies (23/01/20)

Performance audit to assess whether the EU had correctly and efficiently used the funds allocated to the activities of private companies under the 6th Framework Programme. The audit also reviewed the activities’ internal management and control framework and their effectiveness.

Audit on the EU’s support to specific administrative, political and geographical areas (20/10/17)

Personal data were used to contact people and other stakeholders. Interviews with EU staff and stakeholders, on-the-spot visits, sampling of transactions.

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Audit on the EU’s support to specific administrative, political and geographical areas (20/10/17)

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Audit on the EU’s support to specific administrative, political and geographical areas (20/10/17)

Personal data were used to contact people and other stakeholders. Interviews with EU staff and stakeholders, on-the-spot visits, sampling of transactions.

Audit of the effects of the EU’s financial support to the activities of private companies (23/01/20)

Performance audit to assess whether the EU had correctly and efficiently used the funds allocated to the activities of private companies under the 6th Framework Programme. The audit also reviewed the activities’ internal management and control framework and their effectiveness.
The objective of the audit is to assess the effectiveness of the EU support (Instrument for Pre-Accession) in supporting the development of the capital and infrastructures in Vilnius, Lithuania, and whether the Lithuanian government has taken effective actions to protect the right of free movement in the context of EU membership.

In order to perform this task, personal data was used to contact people, organise meetings and conduct visits, interviews with staff of the Commission, EU Agencies, national authorities (EU and third countries), private companies, international organisations, NGOs, think-tanks, academia, as well as for conducting surveys and/or interviews.

The audit team, responsible Member and auditees, stakeholders, experts/academics, interpreters.

The audit team received support from the Rule of Law in the Western Balkans (Albania, Bosnia and Herzegovina, Kosovo, Montenegro, North Macedonia, Serbia) and the Mediterranean Sea (Belgium, France, Italy, Malta, Morocco, Portugal, Slovenia, Spain, Tunisia, and Turkey).

The audit team carried out on-site visits and desk reviews of institutions, interviews with representatives of the audited organisation, NGOs, think-tanks, academia, as well as for conducting surveys and/or interviews.

The audit team received support from Europol, the representatives of the audited organisation, NGOs, think-tanks, academia, as well as for conducting surveys and/or interviews.

All personal data necessary to perform the identified survey, with the purpose of being able to follow-up on respondents' answers.

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Audit of the Commission’s use of third party service providers (DGs FISMA, GROW, ESMA, ECFIN, RTD, ECFIN, EAC, Commission staff, experts, member states authorities, including private sector representatives). The replies were evaluated. Some experts were selected on the basis of CVs.

Additional restricted access control based on need to know principle.

Policy, procedures and awareness training.

Information Security Officer in place; Policy, procedures and awareness training.

Auditing Branch of the ECB (Brussels, EC, EBA, ESMA, Commission’s own staff). E-mail addresses were used for a survey of national commercial banks and, possibly, national supervisory authorities. The replies were evaluated. Some experts were selected on the basis of CVs.

Additional restricted access control based on need to know principle.

Policy, procedures and awareness training.

Officer in place; Policy, procedures and awareness training.

Arbitration Branch of the CESB (Brussels, EC, EBA, ESMA, Commission’s own staff). E-mail addresses were used for a survey of national commercial banks and, possibly, national supervisory authorities. The replies were evaluated. Some experts were selected on the basis of CVs.

Additional restricted access control based on need to know principle.

Policy, procedures and awareness training.

Identity and Access Management System (MAAS)

Approval of changes in Information System (MAAS). Changes to the access rights or data held in the database of the Information System (MAAS) are subject to prior approval by the Head of Task.

Additional restricted access control based on need to know principle.

Policy, procedures and awareness training.

Commission Delegation (Brussels, EC, EBA, ESMA, Commission’s own staff). E-mail addresses were used for a survey of national commercial banks and, possibly, national supervisory authorities. The replies were evaluated. Some experts were selected on the basis of CVs.

Additional restricted access control based on need to know principle.

Policy, procedures and awareness training.

Information Security Officer in place; Policy, procedures and awareness training.

Auditing Branch of the BCE (Brussels, EC, EBA, ESMA, Commission’s own staff). E-mail addresses were used for a survey of national commercial banks and, possibly, national supervisory authorities. The replies were evaluated. Some experts were selected on the basis of CVs.

Additional restricted access control based on need to know principle.

Policy, procedures and awareness training.

Information Security Officer in place; Policy, procedures and awareness training.

Auditing Branch of the BCE (Brussels, EC, EBA, ESMA, Commission’s own staff). E-mail addresses were used for a survey of national commercial banks and, possibly, national supervisory authorities. The replies were evaluated. Some experts were selected on the basis of CVs.

Additional restricted access control based on need to know principle.

Policy, procedures and awareness training.

Information Security Officer in place; Policy, procedures and awareness training.

Auditing Branch of the BCE (Brussels, EC, EBA, ESMA, Commission’s own staff). E-mail addresses were used for a survey of national commercial banks and, possibly, national supervisory authorities. The replies were evaluated. Some experts were selected on the basis of CVs.

Additional restricted access control based on need to know principle.

Policy, procedures and awareness training.

Information Security Officer in place; Policy, procedures and awareness training.

Auditing Branch of the BCE (Brussels, EC, EBA, ESMA, Commission’s own staff). E-mail addresses were used for a survey of national commercial banks and, possibly, national supervisory authorities. The replies were evaluated. Some experts were selected on the basis of CVs.

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Additional restricted access control based on need to know principle.

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Additional restricted access control based on need to know principle.

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Information Security Officer in place; Policy, procedures and awareness training.

Auditing Branch of the BCE (Brussels, EC, EBA, ESMA, Commission’s own staff). E-mail addresses were used for a survey of national commercial banks and, possibly, national supervisory authorities. The replies were evaluated. Some experts were selected on the basis of CVs.

Additional restricted access control based on need to know principle.

Policy, procedures and awareness training.

Information Security Officer in place; Policy, procedures and awareness training.

Auditing Branch of the BCE (Brussels, EC, EBA, ESMA, Commission’s own staff). E-mail addresses were used for a survey of national commercial banks and, possibly, national supervisory authorities. The replies were evaluated. Some experts were selected on the basis of CVs.

Additional restricted access control based on need to know principle.

Policy, procedures and awareness training.

Information Security Officer in place; Policy, procedures and awareness training.
### Table 1: Examples of Personal Data Use after Evaluation of Data Provided by All EU Institutions, Bodies and Agencies

<table>
<thead>
<tr>
<th>Date</th>
<th>Description</th>
<th>Details</th>
</tr>
</thead>
<tbody>
<tr>
<td>06/03/2023</td>
<td>Personal data will be used to contact people, identify and select experts, organise meetings, audit visits, etc.</td>
<td>Based on the evaluation of data provided by all EU institutions, bodies and agencies.</td>
</tr>
<tr>
<td>11/07/2022</td>
<td>Personal data will be used to contact and organise meetings.</td>
<td>Based on the evaluation of data provided by all EU institutions, bodies and agencies.</td>
</tr>
<tr>
<td>07/05/2021</td>
<td>Personal data will be used to contact and organise meetings.</td>
<td>Based on the evaluation of data provided by all EU institutions, bodies and agencies.</td>
</tr>
</tbody>
</table>

**Note:** The evaluation is based on the need-to-know principle, access control based on the need-to-know principle, and backups in case of loss. The data is stored outside the EEA for up to 7 years. The data is transmitted to third parties, and access is restricted to relevant officials from the Commission, EEAS, EUROPOL, ECA auditors, staff from ECB, EBA, and other relevant stakeholders.

**Information Security:**
- Awareness training
- Information Security Officer in place
- Policy, procedures and awareness training

**Data Protection:**
- Physical and logical access control should be applied to data backup. Physical and logical access control should be applied to data protection. A separate unit should be responsible for data protection. The unit should have sufficient authority and should be accountable for the proper functioning of the data protection measures.

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### Table 2: Examples of Personal Data Use after Audit on Internationalisation of SMEs

<table>
<thead>
<tr>
<th>Date</th>
<th>Description</th>
<th>Details</th>
</tr>
</thead>
<tbody>
<tr>
<td>19/07/2017</td>
<td>Audit on Internationalisation of SMEs</td>
<td>Based on the evaluation of data provided by all EU institutions, bodies and agencies.</td>
</tr>
<tr>
<td>15/07/2022</td>
<td>Audit on Internationalisation of SMEs</td>
<td>Based on the evaluation of data provided by all EU institutions, bodies and agencies.</td>
</tr>
<tr>
<td>10/05/2021</td>
<td>Audit on Internationalisation of SMEs</td>
<td>Based on the evaluation of data provided by all EU institutions, bodies and agencies.</td>
</tr>
</tbody>
</table>

**Note:** The evaluation is based on the need-to-know principle, access control based on the need-to-know principle, and backups in case of loss. The data is stored outside the EEA for up to 7 years. The data is transmitted to third parties, and access is restricted to relevant officials from the Commission, EEAS, EUROPOL, ECA auditors, staff from ECB, EBA, and other relevant stakeholders.

**Information Security:**
- Awareness training
- Information Security Officer in place
- Policy, procedures and awareness training

**Data Protection:**
- Physical and logical access control should be applied to data backup. Physical and logical access control should be applied to data protection. A separate unit should be responsible for data protection. The unit should have sufficient authority and should be accountable for the proper functioning of the data protection measures.
The audit will evaluate if the Commission ensures that public consultation contributes to an effective EU annual report (Part B) on performance.

The rapid case review will focus on how EU institutions and agencies report on sustainability.

18/01/2023
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18/01/2023

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There are two types of internal transfers: transfers in the interests of the service and transfers at the request of the person concerned.

Before removal: the removal firm sends the invoice to be reimbursed. HR draws up a reimbursement decision and sends it to the person concerned. A note giving the name of the removal firm is added to the personal file of the person concerned.

For removals: Where a person concerned has taken a total of at least 365 days of sick leave during the three preceding years, the removal firm is covered by insurance. Unless otherwise agreed, reimbursement is limited to a maximum of three days of sick leave per year.

Personal details: retention period

Access control based on need to know principle

Backups

Policy, procedures and Information Security

Awareness training

Organisational security

Officer in place; measure to cover the function until an officer is in place.

Controller

Last update: 18/01/2023

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18/01/2023
Purpose(s) of the operation

HR, FINANCE & GENERAL

Registering and management of participants’ training events

The application is used by training managers

HR, FINANCE & GENERAL

Physical and logical

553

22/12/20

PROFESSIONAL

To assess the impact of the University of Lorraine degree programmes on participating ECA staff. This is

28/01/16

3 months

20/05/21

Provide training for large groups which involve group activities and high level group interaction

Physical and logical

PROFESSIONAL

29/07/11

Measuring the impact of a training

ZOOM US

Personal data will be used to send an anonymous survey

578

MEDICAL SERVICE

The Medical Officer may ask the medical inspector to verify that staff reporting absent for medical

Physical and logical

HR, FINANCE & GENERAL

10/09/08

HUMAN RESOURCES

Selection of candidates for the University of Lorraine degree and Master’s degree for auditors

04/05/21

HR, FINANCE & GENERAL

Processing of personal and medical data in order to:

HR, FINANCE & GENERAL

Physical and logical

Oui

PROFESSIONAL

ECA’s DPO: ECA-data-protection@eca.europa.eu           For any information on and exercise of your rights: ECA-info@eca.europa.eu
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**IT**

**Software licences management and uninstalling of unused software on Windows devices**

**Information security**

- Processors full name, email address

**Physical and logical information**

- Software licences

**HR, Finance & General**

**Director**

**Employee training**

- 26/11/20: Replacing Windows 7 with Windows 10

**Physical and logical information**

- Software licences

**Management of visitors and contractors**

**Director**

**ECA Staff Identification System**

- 23/08/2020: Video surveillance system installed and managed by the ECA within and around its premises.

**Physical and logical information**

- Video surveillance

**Life and mobility**

**Director**

**Personal details of visitors to the ECA**

**20/07/2020: Restrictions on access to buildings, sites and infrastructure.**

**Physical and logical information**

- Video surveillance

**Secretariat**

**Director**

**Use of e-mail and telephone numbers**

**Physical and logical information**

- Use of e-mail and telephone numbers
Contact the IT of the ECA to connect to the IT network at the ECA. A user account will be created in the Active Directory and granted access.

Photos/videos/audio material

Information about personal photos/videos/audio material may be collected on an isolated IT server. To ensure personal data protection, users will be informed about the purpose of the data collection, the recipients of the data, and the period of retention.

Contact the IT of the ECA to obtain a certificate for using Adobe software.

Identify by name the staff member or service that is authorized to use Adobe software.

Subscription to electronic content

Use Adobe subscriptions to identify by name and designate authorized users.

Subscription to online professional content

Use Adobe subscriptions to ensure that authorized users are identified by name.

Identify by name those who are authorized to use Adobe software.

Manage subscrption:

Manage subscriptions to electronic content.

Manage the subscription contract, enable the publisher to provide individual services.

Organize the certificate process and ensure time-bound and legal validity.

The digitised media will be used in publications or at the request of publishers, journalists, members of the public and others.

Completed order forms are retained for 7 years in the ISO.

Suppliers are informed of the ISO's cancellation of the certificate on expiry.

Access to personal data, personal data transferred to the EEA.

Personal data is transferred to the EEA, with the exception of the EEA.

Personal data is transferred only to countries with an adequate level of protection.

Personal data will be transferred only to countries with an adequate level of protection.

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<tr>
<th>Topic</th>
<th>Date</th>
<th>Person</th>
<th>Notes</th>
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| Protecting people working at the ECA from harassment | 01/06/22 | STAFF COMMITTEE (CDP) |...
| Registration | | |...
| Protecting people working at the ECA from harassment | 05/03/09 | STAFF COMMITTEE |...
| Registration | | |...
| Protecting people working at the ECA from harassment | 26/10/15 | SECRETARY GENERAL |...
| Registration | | |...
| Protecting people working at the ECA from harassment | 17/08/11 | DIRECTOR |...
| Registration | | |...
| Protecting people working at the ECA from harassment | 20/05/21 | SECRETARY GENERAL |...
| Registration | | |...
|運動 | 19/11/21 | STAFF COMMITTEE (CDP) |...
| Registration | | |...
|運動 | 05/10/18 | STAFF COMMITTEE |...
| Registration | | |...
|運動 | 10/12/20 | STAFF COMMITTEE |...
| Registration | | |...
|運動 | 05/03/09 | STAFF COMMITTEE (CDP) |...
| Registration | | |...
|運動 | 17/08/11 | SECRETARY GENERAL |...
| Registration | | |...
|運動 | 20/05/21 | SECRETARY GENERAL |...
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