

Public Register of Records of Processing Activities according to Art. 31 Regulation EU 1725/2018<sup>1</sup>

Name of the processing operation	Controller / Processor		Purpose(s) of the processing	Category of Data subjects	Category of data	Recipients <sup>i</sup>	Time limit for blocking and erasure	Security measures adopted (general description)	Transfer to third countries or international organisations
	Organisational part concerned	Contact person							
<b>Resolution Plans</b> Chapter 5 and corresponding Annexes	All SRB Resolution Units	SRB-Dataprotection-Resolutionplanning@srb.europa.eu	Chapter 5 Information, Communication Plan and corresponding Annexes.  Legal Basis: obligation acc. to Article 5(1)(b) Regulation EU 2018/1725, in particular Article 31 of Regulation 806/2014.	Bank employees or staff at national competent or resolution authorities.	Contact details	SRB staff in relevant units and NRA staff (within the IRT)	Yearly	The contact details are treated as confidential and reviewed yearly.	NO
<b>Resolution Colleges planning and organization</b>	All SRB Resolution Units	SRB-Dataprotection-Resolutionplanning@srb.europa.eu	Organisation of Resolution Colleges  Legal basis: Article 53(1) of the Delegated Regulation 2016/1075, Article 31 of Regulation 806/2014.	SRB staff; Staff at: Consolidating Supervisor; Resolution Authorities; Competent Authorities, Competent Ministries; Deposit Guarantee Scheme	Contact details	SRB staff in relevant Resolution Units; ECB	Contact details are kept as long as the representative is member and/or observer of the resolution college	The contact details are annually updated for each resolution planning cycle and treated confidential.	YES Supervisory and Resolution Authorities of third countries, Ministry of Finance of third countries, Deposit Guarantee Schemes (DGS)  Information is exchanged under the confidentiality arrangements

<sup>1</sup> Contact details SRB DPO: SRB-DPO@srb.europa.eu

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<b>Written Arrangements of the Resolution Colleges, events or meetings</b>	All SRB Resolution Units	SRB-Dataprotection-Resolutionplanning@srb.europa.eu relevant Unit	<p>The contact list in the Written Arrangements is used to organise meetings of Colleges, Committees, Crisis Management Groups Networks, Taskforces, Trainings, Board Sessions, Conferences, External visitors, Workshops and Press events or Academia discussions</p> <p>The list also contains contact details for emergency situations</p> <p>Legal Basis: Article 31 of Regulation 806/2014.) Registration and security check at the entrance into SRB premises</p>	Staff at: Consolidating Supervisor; National Resolution Authority; National Competent Authority; Competent Ministry; Deposit Guarantee Scheme	Contact details	SRB and other relevant EU resolution authorities	Every two years after the Resolution college took place. Or update without undue delay if a new contact person is appointed.	The contact list is treated as confidential and processed in compliance with the legal obligation.	In specific cases (“home-host situation”) an equivalence assessment is performed ex ante
<b>List of contacts for resolution purposes: ECB, EBA, NRA, NCB or NCA counterparts (in the SRM, BRRD or SSM context)</b>	SRB Head of Unit (HoU) and selected members of the unit;  SRB Corporate Secretariat	SRB-Dataprotection-Resolutionplanning@srb.europa.eu	To manage resolution planning activities, to facilitate meeting preparations and organization as well as to exchange information on other relevant business and policy related issues.	Participants in Resolution Teams, Crisis Management Group, Resolution College, Taskforce etc.	Contact details	SRB Staff at relevant Resolution Units and at Corporate Secretariat; ECB	The contact details are annually updated for each resolution planning cycle	The contact list is treated as confidential and processed in compliance with a legal obligation.	YES  Supervisory and Resolution Authorities and Ministry of Finance of third countries. Information is exchanged under the confidentiality arrangements

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			Legal Basis: Article 31 of Regulation 806/2014						
<b>Access to SRB premises for events or meetings</b>	SRB all units	Secretary of the relevant unit	Collection of data for access to SRB premises; Dispatch of documentation for meetings of Colleges, Committees, Crisis Management Groups Networks, Taskforces, Trainings, Board Sessions, Conferences, external visitors, Workshops and Press events or Academia discussions  Registration and security check at the entrance into SRB premises	Attendees to the events or the meetings	Contact including ID card details	SRB reception and facilities team	Kept only until the day of the meeting	Access rights to files with personal data limited to the team dealing with the event.  Deletion of non-relevant data (e.g. when the person is no longer part of the relevant working group)	NO
<b>Access to documents requests</b>	SRB Legal Team and Corporate Secretariat,	SRB-Access-to-documents@srb.europa.eu	Treatment of requests for access to documents from individuals, in line with Regulation EC 1049/2001.	Individuals requesting access to SRB documents	Contact details	SRB Legal team	10 years	Restriction of ICT access right to persons in charge of the topic	NO
<b>Compliance activities</b>	SRB Compliance	<a href="mailto:SRB-Compliance@srb.europa.eu">SRB-Compliance@srb.europa.eu</a>	Internal Compliance Activity in line with the SRB Code of Ethics and Staff Regulations (e.g. internal administrative inquiries, check of	SRB staff, Non-SRB staff: NRA, NCB or NCA counterparts,	Contact details and financial data (financial products) and details about SRB staff's outside activity	SRB HR  SRB Board Members  SRB Internal Controller	5 Years for other after closure of secrecy protocol or termination	Locked cupboards	NO

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			absence of conflict of interest declarations, secrecy protocols, etc.)	Contractors providing goods and services, Complainants, correspondents and enquirers, SRB Staff and SNEs.			of employment		
<b>Data Protection activities</b>	SRB Data Protection Office	<a href="mailto:SRB-DPO@srb.europa.eu">SRB-DPO@srb.europa.eu</a>	Data Protection activities in line with Regulation EU 2018/1725	SRB staff and potentially affected external counterparts	All categories of personal data depending on the individual matter	SRB DPO, SRB Chair, European Data Protection Supervisor	In line with the SRB Retention Policy	Locked cupboards, restricted access to functional mailbox and DP intranet space	NO
<b>Internal Audit</b>	SRB Internal Audit	SRB Internal Auditor	Internal audit activity in line with SRMR Art. 62 and SRB Financial Regulation Art. 78	SRB staff Non-SRB staff NRA, NCB or NCA counterparts Contractors providing goods and services Complainants, correspondents and enquirers SRB Staff and SNEs.	Contact details		Internal audit: 6 years after closure of audit engagement	For electronic documents, access rights limited to Internal Audit  Destruction of hard copies after audit engagement	NO
<b>Finance / Accounting/ Procurement activities regarding SRB staff, experts and suppliers</b>	SRB Finance/ Procurement and Accounting	SRB-Finance@srb.europa.eu <a href="mailto:SRB-Procurement@srb.europa.eu">SRB-Procurement@srb.europa.eu</a> SRB-Accounting@srb.europa.eu	Approval of payments (general, suppliers resolution, recruitment) and Bank account management  Payment of salaries (SR, Art.62, CEOS, Art.19-20)	Suppliers' contact person, staff, recruitment candidates, Appeal Panel members	Contact details	SRB Finance  SRB Accounting SRB Procurement Relevant SRB unit	5 years	Restricted access, files archived immediately after approvals	NO

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			Payments to suppliers as per Financial Regulation						
<b>Visitors log book</b>	Security guards and the SRB Facilities unit	<a href="mailto:facilities@srb.europa.eu">facilities@srb.europa.eu</a>	Security & safety reasons (e.g. case of evacuation).  Logs may, on a case-by-case basis also be used for investigating security incidents in accordance with applicable procedures	SRB staff members  Visitors to the SRB premises	Contact details, signature, nationality	The Security Guards, service providers and the EC HR DS unit	6 months	The Visitors log books are collected every week and stored in a safe cabinet at the headquarters of the security guards'	NO
<b>Video surveillance system</b>	SRB Facilities unit and EC HR DS unit	<a href="mailto:facilities@srb.europa.eu">facilities@srb.europa.eu</a>	Protecting the SRB's staff, visitors' premises and operations  Prevent, detect and then document any security incident that occurs in buildings or in the surrounding areas,  Legal basis: EC Decision C(94) 2129 of 08/09/1994 and EC Decision 2001/844/EC, ECSC, Euratom of 29/11/2001	All persons accessing the SRB premises	The footage with images of persons within the SRB premises	EC HR DS Unit and EC authorised technicians servicing the system	30 days as per Belgian law of 21/03/2007 governing installation and use of surveillance cameras (Article 6(3))	Restricted access to the system	NO
<b>Access control system</b>	SRB Facilities unit	<a href="mailto:facilities@srb.europa.eu">facilities@srb.europa.eu</a>	To ensure physical security on the SRB premises by controlling access	SRB staff members, Representatives of Plenary Session and Appeal Panel	Name & photo, badge number & validity	EC HR DS  Access card service	The data is kept for 2 months from expiry/revocation of the	Application of EC security procedures for the issuing of badges	NO

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			<p>both to the SRB premises in general and to sensitive areas inside the SRB premises (e.g. archive rooms, server rooms);</p> <p>To keep track of how many people are in the building for evacuation purposes in line with EC's security decisions.</p>	members, interims, security guards, contractors using special technical access badges	timestamp, ID of gate/door, badge number		badge, except for the access logs, which are kept for 2 months on a rolling basis.		
<b>Business Continuity contact lists /collection of mobile phone numbers</b>	SRB HR, SRB Internal Controller SRB Facilities unit	<p>For HR: <a href="mailto:SRB-HR@srb.europa.eu">SRB-HR@srb.europa.eu</a></p> <p>(For: SRB Internal Controller) : SRB-INTERNAL-CONTROL-OFFICE@srb.europa.eu</p> <p>For SRB Facilities: <a href="mailto:facilities@srb.europa.eu">facilities@srb.europa.eu</a></p>	Storage and use contact details in the context of SRB's activities based on SRMR and voluntary consent	SRB staff members	Contact details emergency contact details, employment details	SRB HR, SRB Internal Controller / SRB Facilities	As per internal Document Retention Policy	The files containing these data are subject to specific IT access rights	NO
<b>Staff Committee elections</b>	SRB HR and SRB Staff members	SRB-HR@srb.europa.eu	Personal data is collected for the purposes of conducting staff committee elections on the basis of the Staff regulations	SRB staff members	Name and last name, institutional grade	SRB HR Electoral Committee, SRB staff members	Duration of election process	The files containing these data are subject to specific IT access rights	NO
<b>Access to JSIS functionalities</b>	Paymaster Office (PMO)	PMO functional mailbox	Allow SRB staff members having access to online	SRB staff members	Contact details, date of birth, sex,	PMO	The information received	The files containing these data are	NO

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			applications without token, i.e. via internet-managed by EC		personnel nr, bank details. Information provided by staff for reimbursement. Opinions and reports of the JSIS medical service		from staff members is kept for 7 years	subject to IT access rights	
<b>Medical information of Staff Members</b>	SRB HR	SRB-HR@srb.europa.eu	According to Staff Regulations Art 28-33; CEOS Art. 12 (2) d)	SRB staff members	Administrative Data	SRB HR, European Commission DG HR medical service	SRB: 4 years or longer in case of dispute; Medical service: 30 years after the departure of the staff member	Lockers; Firewalls	NO
<b>Recruitment related processes</b> <b>(Recruitment procedure, intent to recruit, offer / grading / contract management, establishment of financial rights)</b>	SRB HR	SRB-HR@srb.europa.eu	Selection of candidates according to Implementing Rules SRB 25/03/2015  Eligibility checks (SR. Art.33, CEOS, Art.13)  Recruitment procedure (SR. Art.32, CEOS, Art.15)  Payment of financial rights (Annex VII of SR)	Candidates participating in SRB selection processes  Potential candidates not selected for interview  Successful candidates	Administrative Data	SRB HR, SRB Selection panel members; PMO; SRB Internal audit; HoU of recruiting unit at SRB Chair of SRB; CoA, Ombudsman	5 years, in cases of intent to recruit, offers and grading and establishment of financial rights 120 years after the birth of the candidate	Lockers; Firewalls;	NO

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						in case of inquiry			
<b>Implementation of Harassment policy (selection of confidential counsellors; harassment related internal procedures)</b>	SRB HR	Anti-harassment coordinator; Confidential counsellors  SRB HR functional mailbox:  SRB-HR@ srb.europa.eu	(1) - Selection of confidential counsellors (SR, Art. 12a, 24, 86, 90 & SRB Decision on prevention of harassment (2) - Collection of the personal data as part of the informal procedure (SR, Art. 12a, 24, 86, 90 & SRB Decision on prevention of harassment)	SRB Staff members	Administrative Data	(1)Head of Unit Resources, Members of the selection panel for confidential counsellors, Chair of the SRB (2)Anti-harassment coordinator, Confidential Counsellors; Some data may have to be shared with the Chair of the SRB, other units of the SRB or EU bodies (	(1) 5 years <b>(2) 2 years</b> after the end of the mandate of the appointed Confidential Counsellor.  <b>2 years</b> following the unsuccessful conclusion of the selection procedure or unsuccessful completion of the training.	Safe; Lockers; Firewalls; Functional mailbox accessible only to anti-harassment coordinator	NO
<b>Work patterns of SRB staff (incl. part time, parental/family leave sick leave, annual leave, and other special leave)</b>	SRB HR	SRB HR functional mailbox: SRB-HR@ srb.europa.eu	EC Decision on absences as a result of sickness or accident, C(2004) 1597  Approval of special leave (EC Decision on leave, C (2013) 9051	SRB Staff members	Administrative Data	SRB HR, DG HR (medical service)	Between 2 and 5 years, depending on the process	Lockers; Firewalls	NO
<b>Contact points for the activity of the Single</b>	SRB Contributions Unit	SRB-Contributions @srb.europa.eu	Processing the collection of ex-ante contributions,	SRB Staff members of	Contact details	SRB Contributions team	1 year following the moment that	The files containing these data are	NO



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<b>Resolution Fund – Contributions Team</b>			<p>administrative contributions, funding and irrevocable payments.</p> <p>Ability to contact the NCAs, ECB, EBA, EC, NRAs and DGSSs in order to collect and check the data needed for the calculation of ex-ante contributions.</p> <p>Organization of the Fund Committee Contributions</p>	NCAs, NRAs and DGSSs <sup>2</sup>			the data is no longer required.	subject to specific IT access rights.	
<b>Contacts in the process of Investments SRF</b>	Single Resolution Fund-(SRF) (Investments Team )	SRB-Investments @srb.europa.eu	<p>1) To contact the NRA representatives for assistance with specific matters related to investments.</p> <p>2) To contact the representatives of the outsourcing partner, in relation to the outsourced services of investment management and custody.</p> <p>3) To contact the representatives of the National Central Banks, in relation to</p>	<p>1) Representatives of the National Resolution Authorities</p> <p>2) Representatives of the outsourcing partner</p> <p>3) Representatives of National Central Banks</p> <p>4) Representatives</p>	Contact details	SRB Investments team	In accordance with SRB Document Retention Policy	The files containing these data are subject to specific IT access rights	NO

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			<p>the cash account services for the amounts held in the Single Resolution Fund.</p> <p>4) To contact the representatives of benchmark provider, in relation to the provided benchmark services.</p> <p>5) To contact the representatives of legal advisors, in relation to the provided legal services.</p> <p>6) To contact the representatives of market participants (banks, asset managers, service providers, industry associations) to obtain market information.</p> <p>7) To contact the representatives of data providers, in relation to the provided data services.</p>	<p>of benchmark provider</p> <p>5) Representatives of legal advisor</p> <p>6) Representatives of market participants</p> <p>7) Representatives of data provider</p>					
<b>Reimbursement to SRB staff</b>	SRB Finance and all units of SRB	SRB-Finance@srb.europa.eu	1) Simple payment against invoice (Point 14.5 Annex 1	SRB staff members	Contact details, birth date,	SRB staff members	7 years (Art. 42.5 of SRB Financial Regulation		NO

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			General Financial Regulation) 2) Missions expenses (SRB Financial Regulation on implementation of budget) 3) Seconded National Experts and Trainees (SRB Financial Regulation implementation of budget)		copy of ID or passport and bank account				
<b>Reimbursement to candidates for a post at SRB</b>	SRB Finance/ SRB HR	SRB-Finance@ srb.europa.eu	Staff Regulation	Candidates	Candidates' personal identification data; Contact details, birth date, copy of ID or passport and bank account	Candidates	7 years (Art. 42.5 of SRB Financial Regulation)	Limited access rights and restricted in the SRB's internal filing system.	NO
<b>Reimbursement to experts or consultants</b>	SRB Finance Requesting unit at SRB	SRB-Finance@ srb.europa.eu	Implementation of budgetary commitment under the SRB Financial Regulation	Expert or consultant under a contract with SRB	Name, personal address, birth date, copy of ID or passport and bank account	SRB Finance team and SRB units involved	7 years (Art. 42.5 of SRB FR)	Limited access rights and restricted in the SRB's internal filing system.	NO
<b>Access to SRB data collection system for Resolution Reporting</b>	Resolution / Reporting units at SRB & IT OPS	<a href="mailto:ldt@srb.europa.eu">ldt@srb.europa.eu</a>  IT-OPS IT- OPS@srb.europa.eu	Providing NRAs access to: the SRB's IT solution for data collection for resolution reporting, and to the dedicated webpage on the data collection process (as of May 2019).	NRAs (within and outside the banking union)	Contact details	IT OPS team	Information is deleted upon request of the NRA if user no longer requires access.	Limited access rights to functional mailbox	NO

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<sup>i</sup> All documents under this column may be received by Internal Audit as far as relevant for the exercise of its functions and by the EDPS as far as relevant for the exercise of its functions.