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General privacy notice in relation to audit work

This privacy notice tells you about how the Auditor General for Wales (AGW) and staff of the Wales Audit Office (WAO) process personal information collected in connection with our work. We have separate specific privacy notices for the processing of WAO staff data and for certain other activities and projects, such as data matching exercises.

Who we are and what we do

- 1 The Auditor General for Wales (AGW) is the auditor of most Welsh public bodies. The AGW's work includes examining how public bodies manage and spend public money, and the Wales Audit Office (WAO) provides the staff and resources to enable the AGW to carry out that work. "Audit Wales" is a trademark of the WAO and is the umbrella identity of the AGW and the WAO. Further information is available on the [Audit Wales website](#).

The purposes of the processing

- 2 We will use personal data when exercising our powers and duties, which chiefly concern the audit of public bodies and activities to support such work.

The relevant laws

- 3 The WAO processes your personal data in accordance with data protection legislation—the UK General Data Protection Regulation and the Data Protection Act 2018. For most of our processing, the lawful bases are the powers and duties set out in the Public Audit (Wales) Acts 2004 and 2013, the Government of Wales Acts 1998 and 2006, the Local Government (Wales) Measure 2009, the Well-being of Future Generations (Wales) Act 2015, the Local Government & Elections (Wales) Act 2021 and various legislation establishing particular public bodies, such as the Care Standards Act 2000. Further details are available in our publication, [A guide to Welsh public audit legislation](#), which is available on our website.
- 4 Depending on the particular power or function, these statutory bases fall within Article 6(c) and (e) of the UK GDPR—processing necessary for compliance with a legal obligation, for the performance of a task carried out in the public interest or in the exercise of official authority. Where we process special category data, the additional legal basis for processing this will ordinarily be Article 9(2)(g) of the UK GDPR (together with paragraph 6 of Schedule 1 to the Data Protection Act 2018, in

the case of criminal offence data) relating to the exercise of a statutory function for reasons of substantial public interest.

- 5 If you choose to make use of voice and or facial recognition software for calls or meetings (this option is offered in Microsoft Teams software—Audit Wales does not require you to choose to use this), you should be aware that this will entail processing of your biometric data, which is special category personal data. The basis for this processing will be Article 9(2)(c) (consent).
- 6 Some processing is undertaken under “legitimate interests” (Article 6(1)(f)) where the activity does not fall within the scope of legal obligation or public task but supports core business functions, such as the automated transcription or summarisation of meetings.

How we obtain your personal data

- 7 The personal data that we collect and process as part of our work may be obtained from you directly (e.g., if we contact you to ask you specific questions or for further information in connection with our work), or from relevant bodies, including those that we are auditing, through the exercise of the Auditor General’s access rights (see “our rights” below).

Who will see the data

- 8 The AGW and relevant WAO staff, such as the study team, will have access to the information you provide. Your data may be shared internally in accordance with the data protection principles where there is a legal basis for processing it. This includes relevant teams within Audit Wales where the data may inform their work, for the purposes described in this notice.
- 9 Our published report may include some of your information, but we will contact you before any publication of information that identifies you—see also “your rights” below.
- 10 We may share information with:
 - a. Senior management at the audited body(ies) as far as this is necessary for exercising our powers and duties;
 - b. Certain other public bodies/public service review bodies such as the Office of the Future Generations Commissioner, Care Inspectorate Wales (Welsh Ministers), Health Inspectorate Wales (Welsh Ministers), Estyn and the Public Services Ombudsman for Wales, where the law permits or requires this, such as under section 19 of the Public Services Ombudsman (Wales) Act 2019 (Wales) Act 2015.
- 11 In line with initiatives to drive artificial intelligence (AI) adoption across the public sector and explore potential efficiency savings, AI may be utilised in the processing

of personal data in accordance with our Artificial Intelligence and Digital Initiatives Policy. This includes note-taking and summarisation of data, but AI will not be used to make solely automated decisions.

- 12 We may produce an automated transcript of meetings and utilise M365 Copilot on the data produced. M365 Copilot is an AI-powered assistant built on large language models (LLMs) and integrated into Microsoft's suite of applications. The M365 Copilot tool follows all of Audit Wales' security policies.
- 13 We may also use AI tools in accordance with our AI & Digital Initiatives Policy, such as Caseware Validate, to assist with audit tasks such as the checking of the accuracy of financial statements.

How long we keep the data

- 14 We will generally keep your data for 6 years, though this may increase to 25 years if it supports a published report—we will contact you before any publication of information that identifies you—see also “your rights” below. After 25 years, the records are either transferred to the UK National Archive or securely destroyed. In practice, very little personal information is retained beyond 6 years.

Our rights

- 15 The AGW has rights to information, explanation, and assistance under paragraph 17 of schedule 8 Government of Wales Act 2006, section 52 Public Audit (Wales) Act 2004, section 26 of the Local Government (Wales) Measure 2009 and section 98 of the Local Government & Elections (Wales) Act 2021. Further information can be found in our [Access Rights leaflet](#) available on our website. It may be a criminal offence, punishable by a fine, for a person to fail to provide information that falls within the AGW's access rights, but such an offence does not apply to surveys of the general public, which are not conducted using the statutory access rights above.

Your rights

- 16 Under data protection law you have rights to ask for a copy of the current personal information held about you and to object to data processing that causes unwarranted and substantial damage and distress.
- 17 To obtain a copy of the personal information we hold about you or discuss any objections or concerns, please write to the Information Officer, Audit Wales, 1 Capital Quarter, Tyndall Street, Cardiff, CF10 4BZ or email infoofficer@audit.wales. You can also contact our Data Protection Officer at this address.

- 18 You have the right to complain directly to us about the handling of your personal data. Please email complaints@audit.wales.

Information Commission's Office

- 19 To obtain further information about data protection law or to complain about how we are handling your personal data, you may contact the Information Commission by visiting: <https://ico.org.uk/>, writing to: ICO, Wycliffe House, Water Lane, Wilmslow, Cheshire, SK9 5AF, or by telephone on: 0303 123 1113 (or 0330 414 6421 to speak in Welsh).
- 20 You should note, however, that the ICO would normally expect you to have exhausted our internal complaints procedures before dealing with a complaint. Further guidance may be found on the ICO's website: <https://ico.org.uk/make-a-complaint/data-protection-complaints/>.