

The text "GDPR Essentials" is written vertically in a large, white, sans-serif font on the left side of the page. The background of the entire page is a photograph of several European Union flags flying on tall silver poles against a clear blue sky. A modern glass building is partially visible on the left side.

# GDPR Essentials

The text "GDPR Essentials Audit Summary" is written in a large, white, sans-serif font on a solid black background at the bottom of the page.

# GDPR Essentials Audit Summary

# GDPR Essentials Audit

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## Introduction

The GDPR Essentials Audit is recommended for businesses looking to demonstrate their GDPR preparations. In the absence of an official compliance certification and therefore no definition of what compliance means, it will help business and customers reach a level of mutual trust and assurance.

All businesses and service providers must demonstrate compliance by May 2018. As a consequence, it is expected that it will become standard practice for customers to require evidence of GDPR compliance. The GDPR Essentials audit is designed to help business understand what they need to do, verify their efforts and provide the assurances their customers will demand.

The Audit directly aligns with the obligations laid out in the GDPR as follows:

**Technical Measures - Art 28 (1)**

**Organisational Measures - Art 28 (1)**

**Data Protection Principles**

**Lawfulness of Processing - Art 6**

**Consent – Art 7**

**Legitimate Interest – Art 6**

**Profiling – Art 22**

**Legal Data Transfer - Art 44**

**Privacy Policies - Art 13**

**Third Party Processor Compliance - Art 28 (3)**

**Processing Records - Art 30 (2)**

**Data Protection Officer - Art 37**

**Data Subject Rights – Arts 15-21**

**Breach Notification - Art 33 (2)**

**“If we come knocking on the door, if we investigate or conduct an audit in an organisation, the best way you can demonstrate to us that we won’t need to dive deeper and you’ve got covered all the compliance issues is to have a comprehensive accountability program”**

**STEVE WOOD**

Deputy Information Commissioner March 2017

## **GDPR ESSENTIALS AUDIT FRAMEWORK**

The framework is designed to provide two levels of audit for both Data Controllers and Data Processors.

### **GDPR ESSENTIALS AUDIT (Data Controllers)**

This cost effective, entry level audit requires a self-evaluation of the key requirements and obligations as set out in the GDPR. A business undertakes their own assessment of their implementation of the GDPR Essentials recommendations using a downloaded questionnaire. This document must be signed off by the Data Protection Officer (or equivalent) or a member of the Senior Management Team.

The submission is then assessed by an independent GDPR consultant. Successful applicants will be awarded GDPR Ready certification and the DPR Ready badge for marketing/promotional use.

### **GDPR ESSENTIALS AUDIT (Data Processors)**

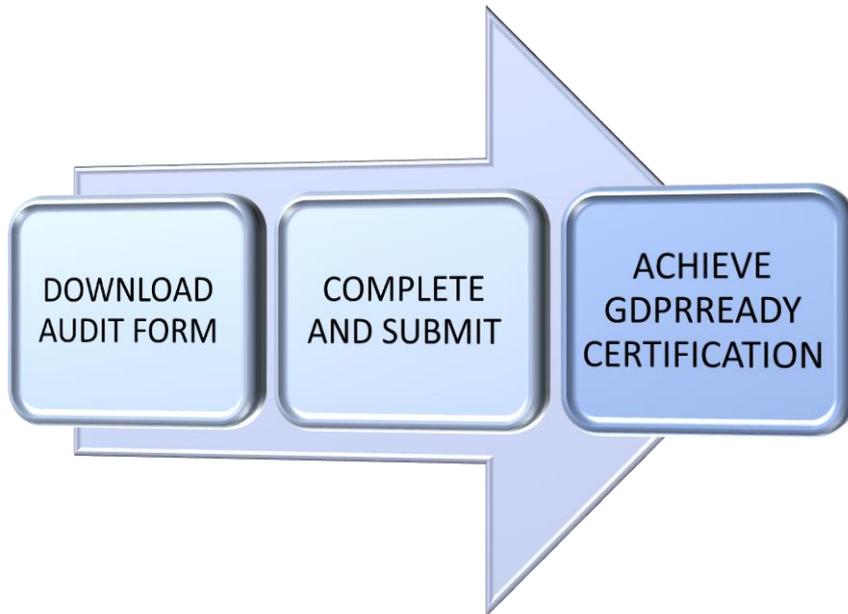
This audit follows the same format as above although focusses on the particular requirements that a Data Processor has to comply with before engaging with Data Controllers.

### **GDPR ESSENTIALS AUDIT PRO**

As above but with the additional step of an on-site audit from a GDPR Specialist to confirm all documentation and processes meet the required standards. This service is available to both Data Controllers and Data Processors



## GDPR ESSENTIALS PROCESS



## FAQs

### **Does this constitute legal advice**

No – The GDPR Essentials Audit is not designed to be used as legal advice. Developed by leading GDPR and Data Protection experts, it is designed to assist businesses with planning for compliance. If in any doubt it is recommended that legal advice be obtained.

### **Will this make me GDPR Compliant?**

Not necessarily. At time of compilation (September 2017) there is no official definition of compliance or certification pertaining to compliance. A comprehensive and thorough approach to meeting the GDPR Essentials Audit requirements is designed to prepare a business for compliance as and when it is defined.

### **What happens if I fail the assessment?**

You will receive a report highlighting any shortfall. Further corrected submissions will be accepted with no extra charge as it is our objective to assist businesses with their GDPR preparations. You may re-submit your application as many times as is necessary.

### **Am I free to use the GDPR Ready logo?**

Yes. The purpose of the logo is to assist businesses with demonstrating they have are using best practice processes to protect their client and staff personal data.

### **How long does GDPR Ready certification last?**

Any certification is only as accurate as the day it is awarded. The GDPR Essentials Audit is continuously updated to meet legislation updates and changes and it is therefore recommended to carry out audits at 6 monthly intervals. All GDPR Ready certificates awarded will be time stamped with the month and year.