Appendix 1

RAG Summary of GDPR Compliance Monitors

v0.3 January 201

## STATE OF PROPERTY OF PROPER																																													
Sept 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1	Dept / Compliance Action		M&0	CP		DB	3E			City	Surveyors			Sc	hools				D	OCCS & Con	nm Safety						Open	Spaces			HR		Re	membrano	ers					Chambe	rlains (Non I	T)			IT Services
The control process of	GDPR Risks	illingsgate	smithfield	New Spitalfields Port Health & Public	Fransportation &	District Surveyor	Planning Policy	Planning & Development Mgt.	Operations Group	Sroup nvestment Property	rojects	Business Perormance & Directorate	CPAT	0 P		eenene s	eople	Sarbican Estates Housing &	Veighbourhoods	Sarbican and Comm	Commissioning & Partnerships	Property	Public Health	Community Safety	The Commons	Epping Forest	Directorate	Cemetry and Crematorium	AH Park and City Sardens	4 Heath / Highgate Mood / QP / KH	org. Development ay and Grading earning & evelopment Support Systems	Justines Comment	Parliamentary	Parliamentary Briefings Manager	City Events		Sity Proc	Anti Fraud	City Revenues	Pensions	Dept facing finance units	Payroll	Chamb Court	Directorate	T Non Systems and Data Security
The control process of			U)							0 - 0		- W			_	$\overline{}$	-				0 11	-		Ŭ		ш_	Ü		70		0 1 1 1 0								0 0						
The commentation of Evaluation School																																					/ /								/ /
And the control of th																																													
Note: The control of the CPU have not given proposed. If you have not the CPU have not given proposed. If you have not the CPU have not given proposed. If you have not the CPU have not given proposed. If you have not the CPU have not given proposed. If you have not the CPU have not given proposed. If you have not the CPU have not given proposed. If you have not the CPU have not given proposed. If you have not the CPU have not given proposed. If you have not the CPU have not given proposed. If you have not given p																																													
Company Comp																																													
And the state of t																																													
The contract of the plants of the contract of	Records Retention Schedule in place																																												
The principle of the City of Lender Composition as agree control celebrate or Lender of Lender Composition as agree control celebrate or Lender of Lender Composition as agree control celebrate or Lender Composition as agree control celebrate control celebra																																													
The control of the Co	ROPA in place																																												
The communication and the processing promotion as date controller circles; and use personal case and the processing promotion as a date controller circles; and use personal case and the processing promotion date as content. The communication is a processing promotion date as contents to the mean of the processing promotion date as contents to the mean of the processing promotion date as contents. The communication is a processing promotion date as contents to the mean of the processing promotion date as contents to the mean of the processing promotion date as contents to the mean of the processing promotion date as contents to the mean of the processing promotion as a date contents to the mean of the processing promotion as a date contents to the mean of the processing promotion as a date contents to the mean of the processing proces																																													
The protection of the price of the control of the price of the pr																																													
Meditable for grounding data of the control of the subject of the																																													
usual blanks for generating personal flats. consents Comparison C																																					/ /								/
Secondary to great or severe concert has been recorded from the data unique. In contrast the personal data to tachild in the vacans and process or a secondary of the vacans and process or a secondary of the vacans and process or a modulus, request to account the personal data to the vacans and process or a modulus, request to account the personal data to the vacans and process or a modulus, request to account the personal data to the vacans and process or a modulus, request to account the personal data to the vacans and process or a modulus, request to account the personal data to the vacans and process or a modulus, request to account the personal data to the vacans and process or a modulus, request to account the personal data to the vacans and process or a modulus, request to account the personal data to the vacans and personal data to the vacans																																													
There are written agreements in place for new contexts with third party service provides and process; including free with provide for the context have provided as the service of the context have provided as the service of the process of provided as the service of the process of provided as the service of the process of the provided as the service of the process of the provided as the service of the process of the provided as the service of the process	Records are kept for where consent has been received from the data subject																																												
There are written agreements in place for new contexts with third party service provides and process; including free with provide for the context have provided as the service of the context have provided as the service of the process of provided as the service of the process of provided as the service of the process of the provided as the service of the process of the provided as the service of the process of the provided as the service of the process	Contracts																																												
and account of the control of the Control of Indiana (Control of I																																													
as date controller, that crows the personal data that they access and process is protected and controller. The controller flower services of the personal data was a service of the process for an individuals' requests to access their personal data. 3.0. Illustrate access and process is protected and controller. The controller flower regions is price to reception of an individuals' requests to access their personal data. 3.0. Illustrate access their personal data is a possible or personal data is a possible or personal data. 3.0. Illustrate access their personal data is a possible or personal data. 3.0. Illustrate access their personal data is a possible or personal data. 3.0. Illustrate access their personal data. 3.0. Illustr																																					/ 7								
Model factors trained as a series of the process for an individual's request to access their personal data and a series of the process for an individual's request to access their personal data and a series of the process for an individual's request to access their personal data and a series of the process for an individual's request to access their personal data and a series of the process for an individual's request to access their personal data and a series of the process for an individual's request to access their personal data and a series of the process for an individual's request to access their personal data and a series of the process for an individual's request to access their personal data and a series of the process for an individual's request to access their personal data and a series of the process for access their personal data and a series of the process for access their personal data and a series of the process for access their personal data and a series of the process for access their personal data and a series of the process for access their personal data and a series of the process for access their personal data and a series of the process for access their personal data and a series of the process for developing and reporting a flush protection breach the process for developing and reporting a flush protection breach the process for developing and reporting a flush protection breach the process for developing and reporting a flush protection breach the process for developing and reporting a flush protection breach the process for access and the technique of the process for developing and reporting a flush protection breach the process for access and the process a																																					/ /								/
Not relevant affair as ware of the process for an individual's request to access their personal data. All, Right to Access. In all and a place to respond to individual's other rights individual other rights in the factorial of the place to the place	secure.																																				/ /								/
Salk, Right to Access Sight to rediffication (s) Injustice to respond to Individuals' other rights Sight to Frauer (light to Barrierin or Sight to Care Protection (s) Injustice (s) I	Data Subjects Rights																																												
juildance is in place to respond to individuals' other rights light to reclaration light to feature light to extend the control of the contro	All relevant staff are aware of the process for an individuals' requests to access their personal data																																				/ 7								
light to resurriction light to Data Protection Inspire Assassment Procedure & Guidance light of Light Protection Inspire Assassment	(SAR , Right to Access)																																												
Night to Data Portability Night to Data Portability Night to Object to Automated Decision Making / Profiling Unique to Object to Automated Decision Making / Profiling Unique to Object to Automated Decision Making / Profiling Unique to Object to Automated Decision Making / Profiling Unique to Object to Automated Decision Making / Profiling Unique to Object to Automated Decision Making / Profiling Unique to Object to Automated Decision Making / Profiling Unique to Object to Automated Decision Making / Profiling Unique to Object to Automated Decision Making / Profiling Unique to Object to Automated Decision Making / Profiling Unique to Object to Automated Decision Making / Profiling Unique to Object to Automated Decision Making / Profiling Unique to Object to Automated Decision Making / Profiling Unique to Object to Automated Decision Making / Profiling Unique to Object to Automated Decision Making / Profiling Unique to Object to Automated Decision Making / Profiling Unique to Object to Automated Decision Making / Profiling Unique to Object to Automated Decision Making / Profiling Unique to Object to Automated Decision Making / Profiling Unique to Object to Automated Decision Making / Profiling Unique to Object to Automated Decision Making / Profiling Unique to Object to Automated Decision Making / Profiling Unique to Object to Automated Decision Making / Profiling Unique to Object to Automated Decision Making / Profiling Unique to Object to Automated Decision Making / Profiling Unique to Object to Automated Decision Making / Profiling Unique to Object to Automated Decision Making / Profiling Unique to Object to Automated Decision Making / Profiling Unique to Object to Automated Decision Making / Profiling Unique to Object to Automated Decision Making / Profiling Unique to Object to Automated Decision Making / Profiling Unique to Object to Automated Decision Making / Profiling Unique to Object to Automated Decision Making / Profiling Unique to Object to Automated Decision Making / Profiling Unique to Object to Obj	Guidance is in place to respond to individuals' other rights																																				/ /								/
light to Restriction light to Date Portability light to Object light to Date Portability light to Object to Automated Decision Making / Profiling suidelines for processing children's data are in place automated Decision Making / Profiling suidelines for processing children's data are in place automated Portability light to Object to Automated Decision Making / Profiling suidelines for processing children's data are in place automated Portability light to Object to Automated Decision Making / Profiling suidelines for processing children's data are in place automated Portability light to Object to Automated Decision Making / Profiling suidelines for processing children's data are in place automated Portability light to Object to Automated Decision Making / Profiling suidelines for processing children's data are in place automated Portability light to Object to Automated Decision Making / Profiling automated Portability light to Object to Automated Decision Making / Profiling automated Portability light to Object to Automated Decision Making / Profiling automated Portability light to Object to Automated Decision Making / Profiling automated Portability light to Object to Automated Decision Making / Profiling automated Portability light to Object to Automated Decision Making / Profiling automated Portability light to Object to Automated Decision Making / Profiling automated Portability light to Object to Automated Decision Making / Profiling automated Portability light to Object to Automated Portability light to Object to Automated Portability light to Automated Portabi	Right to rectification																																				/ /								/ /
light to Object to Automated Decision Making / Profiling usidelines for processing children's data are in place Data Protection It staff are aware of the Data Protection impact Assessment Procedure & Guidance It staff are aware of the Data Protection impact Assessment Procedure & Guidance It staff are aware of the Data Protection impact Assessment Procedure & Guidance It staff are aware of the Data Protection impact Assessment Procedure & Guidance It staff are aware of the Data Protection impact Assessment Procedure & Guidance It staff are aware of the Data Protection impact Assessment Procedure & Guidance It staff are aware of the Data Protection impact Assessment Procedure & Guidance It staff are aware of the Data Protection impact Assessment Procedure & Guidance It staff are aware of the Data Protection inspect Assessment Procedure & Guidance It staff are aware of the Data Protection inspect Assessment Procedure & Guidance It staff are aware of the Data Protection inspect Assessment Procedure & Guidance It staff are aware of the Data Protection inspect Assessment Procedure & Guidance It staff are aware of the Data Protection inspect Assessment Procedure & Guidance It staff are aware of the Data Protection inspect Assessment Procedure & Guidance It staff are aware of the Data Protection inspect Assessment Procedure & Guidance It staff are aware of the Data Security Assessment Procedure & Guidance It staff are aware of the Data Security Assessment Procedure & Guidance It staff are aware of the Data Security Assessment Procedure & Guidance It staff are aware of the Data Security Assessment Procedure & Guidance It staff are aware of the Data Security Assessment Procedure & Guidance It staff are aware of the Data Security Assessment Procedure & Guidance It staff are aware of the Data Security Assessment Procedure & Guidance It staff are aware of the Data Security Assessment Procedure & Guidance It staff are aware of the Data Security Assessment Procedure & Guidance It staff are aware of	Right to Erasure																																				/ 7								/ /
light to Object Materials for processing children's data are in place Suidelines in place for transferring data securely between Co. and 3rd parties Suidence in place for transferring data securely between Co. and 3rd parties Suidence in place for transferring data securely between Co. and 3rd parties Suidence in place for transferring data securely between Co. and 3rd parties Suidence in place for transferring data securely between Co. and 3rd parties Suidence in place for transferring data securely between Co. and 3rd parties Suidence in place for transferring data securely between Co. and 3rd parties Suidence in place for transferring data securely between Co. and 3rd parties Suidence in place for transferring data securely between Co. and 3rd parties Suidence in place for transferring data securely between Co. and 3rd parties Suidence in place for transferring data securely between Co. and 3rd parties Suidence in place for transferring data securely between Co. and 3rd parties Suidence in place for transferring data securely between Co. and 3rd parties Suidence in place for transferring data securely between Co. and 3rd parties Suidence in place for transferring data securely between Co. and 3rd parties Suidence in place for transferring data securely between Co. and 3rd parties Suidence in place for transferring data securely outside of the EU Suidence in pla	Right to Restriction																																				/ /								/ /
Auditolines for processing children's data are in place Data Protection	Right to Data Portability																																												
Suideline for processing children's data are in place Data Protection Ill staff are aware of the OLD Data Protection Policy 2018 Ill staff are aware of the Data Protection Impact Assessment Procedure & Guidance Ill relevant staff are aware of the process for identifying and reporting a Data Protection breach Electronic communications conform to PECR (Privacy and Electronic Communications) In a marketing by phone, email, test, use of cookies or a similar technology on the Col. website; or compline a telephone directory (or a similar public directory) Suidance in place for transferring data securely outside of the EU Suidance in place for transferring data securely between Col. and 3rd parties Ill staff have read the Col. Security Policy - People	Right to Object																																												
Data Protection Mil staff have read the Col. Data Protection Policy 2018 Mil staff are wave of the Data Protection Impact Assessment Procedure & Guidance Mil staff are wave of the Data Protection Impact Assessment Procedure & Guidance Mil staff are wave of the Data Protection Impact Assessment Procedure & Guidance Mil staff are wave of the Data Protection Impact Assessment Procedure & Guidance Mil staff are wave of the Data Protection Impact Assessment Procedure & Guidance Mil staff are wave of the Data Protection Impact Assessment Procedure & Guidance Mil staff are wave of the Data Protection Impact Assessment Procedure & Guidance Mil staff are wave of the Data Protection Impact Assessment Procedure & Guidance Mil staff are wave of the Data Protection Impact Assessment Procedure & Guidance Mil staff are wave of the Data Protection Impact Assessment Procedure & Guidance Mil staff are wave of the Data Protection Impact Assessment Procedure & Guidance Mil staff are wave of the Data Protection Impact Assessment Procedure & Guidance Mil staff are wave of the Data Protection Impact Assessment Procedure & Guidance Mil staff are wave of the Data Protection Impact Assessment Procedure & Guidance Mil staff are wave of the Data Protection Impact Assessment Procedure & Guidance Mil staff are wave of the Process for identifying and reporting a Data Protection Impact Assessment Procedure & Guidance Mil staff are wave of the Data Protection Impact Assessment Procedure & Guidance Mil staff are wave of the Process for identifying and reporting a Data Protection Impact Assessment Procedure & Guidance Mil staff are wave of the Process for identifying and reporting a Data Protection Impact Assessment Procedure & Guidance Mil staff are wave of the Process for identifying and reporting a Data Protection Impact Assessment Procedure & Guidance Mil staff are wave of the Data Protection Impact Assessment Procedure & Guidance Mil staff are wave of the Data Protection Impact Assessment Proce																																													4
All staff have read the CoL Data Protection Policy 2018 It staff are aware of the Data Protection Impact Assessment Procedure & Guidance It relevant staff are aware of the process for identifying and reporting a Data Protection breach It relevant staff are aware of the process for identifying and reporting a Data Protection breach It relevant staff are aware of the process for identifying and reporting a Data Protection breach It relevant staff are aware of the process for identifying and reporting a Data Protection breach It relevant staff are aware of the process for identifying and reporting a Data Protection breach It relevant staff are aware of the process for identifying and reporting a Data Protection breach It relevant staff are aware of the Data Protection Impact Assessment Procedure & Guidance It relevant staff are aware of the Data Protection Impact Assessment Procedure & Guidance It relevant staff are aware of the Data Protection Impact Assessment Procedure & Guidance It relevant staff are aware of the Data Protection Impact Assessment Procedure & Guidance It relevant staff are aware of the Data Protection Impact Assessment Procedure & Guidance It relevant staff are aware of the Data Protection Impact Assessment Procedure & Guidance It relevant staff are aware of the Data Protection Impact Assessment Procedure & Guidance It relevant staff are aware of the Data Protection Impact Assessment Procedure & Guidance It relevant staff are aware of the Data Protection Impact Assessment Procedure & Guidance It relevant staff are aware of the Data Protection Impact Assessment Procedure & Guidance It relevant staff are aware of the Data Protection Impact Assessment Procedure & Guidance It relevant staff are aware of the Data Protection Impact Assessment Procedure & Guidance It relevant staff are aware of the Data Protection Impact Assessment Procedure & Guidance It relevant staff are aware of the Data Protection Impact Assessment Procedure & Guidance It relevant staff																																				_									
All staff are aware of the Data Protection Impact Assessment Procedure & Guidance All relevant staff are aware of the process for identifying and reporting a Data Protection breach All relevant staff are aware of the process for identifying and reporting a Data Protection breach Betteronic communications conform to PECR (Privacy and Electronic Communications Regulations) Betteronic communications conform to PECR (Privacy and Electronic Communications Regulations) Better on a similar public directory) Buildance in place for transferring data securely outside of the EU Buildance in place for transferring data securely between CoL and 3rd parties Buildstaff have read the CoL Security Policy - People																								_																					
All relevant staff are aware of the process for identifying and reporting a Data Protection breach Electronic communications conform to PECR (Privacy and Electronic Communications Regulations) Electronic communications conform to PECR (Privacy and Electronic Communications Regulations) Electronic communications conform to PECR (Privacy and Electronic Communications Regulations) Electronic communications conform to PECR (Privacy and Electronic Communications Regulations) Electronic communications conform to PECR (Privacy and Electronic Communications Regulations) Electronic communications conform to PECR (Privacy and Electronic Communications Regulations) Electronic communications conform to PECR (Privacy and Electronic Communications Regulations) Electronic communications conform to PECR (Privacy and Electronic Communications Regulations) Electronic communications conform to PECR (Privacy and Electronic Communications Regulations) Electronic communications conform to PECR (Privacy and Electronic Communications Regulations) Electronic communications conform to PECR (Privacy and Electronic Communications Regulations) Electronic communications conform to PECR (Privacy and Electronic Communications Regulations) Electronic communications conform to PECR (Privacy and Electronic Communications Regulations) Electronic communications conform to PECR (Privacy and Electronic Communications Regulations) Electronic communications conform to PECR (Privacy and Electronic Communications Regulations) Electronic communications regulations and Electronic Commun																								-																					
Electronic communications conform to PECR (Privacy and Electronic Communications Regulations) Le marketing by phone, email, text; use of cookies or a similar technology on the Cot. website; or Compiling a telephone directory (or a similar public directory) Suidance in place for transferring data securely outside of the EU Suidance in place for transferring data securely between Cot. and 3rd parties Ill staff have read the Cot. Security Policy - People					-																																								
Le marketing by phone, email, text; use of cookies or a similar technology on the CoL website; or compiling a telephone directory (or a similar public directory) Suidance in place for transferring data securely outside of the EU Suidance in place for transferring data securely between CoL and 3rd parties Ill staff have read the CoL Security Policy - People	All relevant starr are aware of the process for identifying and reporting a Data Protection breach																																												
Le marketing by phone, email, text; use of cookies or a similar technology on the CoL website; or compiling a telephone directory (or a similar public directory) Suidance in place for transferring data securely outside of the EU Suidance in place for transferring data securely between CoL and 3rd parties Ill staff have read the CoL Security Policy - People	Electronic communications conform to DECD (Drivacy and Electronic Communications Populations)														_																						_								4
compiling a telephone directory (or a similar public directory) Suidance in place for transferring data securely outside of the EU Suidance in place for transferring data securely between COL and 3rd parties Suidance in place for transferring data securely between COL and 3rd parties Suidance in place for transferring data securely between COL and 3rd parties Suidance in place for transferring data securely between COL and 3rd parties Suidance in place for transferring data securely between COL and 3rd parties Suidance in place for transferring data securely between COL and 3rd parties Suidance in place for transferring data securely between COL and 3rd parties Suidance in place for transferring data securely between COL and 3rd parties Suidance in place for transferring data securely between COL and 3rd parties Suidance in place for transferring data securely between COL and 3rd parties Suidance in place for transferring data securely between COL and 3rd parties Suidance in place for transferring data securely between COL and 3rd parties Suidance in place for transferring data securely between COL and 3rd parties Suidance in place for transferring data securely between COL and 3rd parties Suidance in place for transferring data securely between COL and 3rd parties Suidance in place for transferring data securely between COL and 3rd parties Suidance in place for transferring data securely between COL and 3rd parties Suidance in place for transferring data securely between COL and 3rd parties Suidance in place for transferring data securely between COL and 3rd parties Suidance in place for transferring data securely between COL and 3rd parties Suidance for transferring data securely between COL and 3rd parties Suidance for transferring data securely between COL and 3rd parties Suidance for transferring data securely between COL and 3rd parties Suidance for transferring data securely between COL and 3rd parties Suidance for transferring data securely between COL and 3rd parties Suidance																																													I
Suldance in place for transferring data securely outside of the EU Suldance in place for transferring data securely between COL and 3rd parties Suldance in place for transferring data securely between COL and 3rd parties Suldance in place for transferring data securely between COL and 3rd parties Suldance in place for transferring data securely between COL and 3rd parties Suldance in place for transferring data securely between COL and 3rd parties Suldance in place for transferring data securely between COL and 3rd parties Suldance in place for transferring data securely between COL and 3rd parties Suldance in place for transferring data securely between COL and 3rd parties Suldance in place for transferring data securely between COL and 3rd parties Suldance in place for transferring data securely between COL and 3rd parties Suldance in place for transferring data securely between COL and 3rd parties Suldance in place for transferring data securely between COL and 3rd parties Suldance in place for transferring data securely between COL and 3rd parties Suldance in place for transferring data securely between COL and 3rd parties Suldance in place for transferring data securely between COL and 3rd parties Suldance in place for transferring data securely between COL and 3rd parties Suldance in place for transferring data securely between COL and 3rd parties Suldance in place for transferring data securely between COL and 3rd parties Suldance in place for transferring data securely between COL and 3rd parties Suldance in place for transferring data securely between COL and 3rd parties Suldance in place for transferring data securely between COL and 3rd parties Suldance in place for transferring data securely between COL and 3rd parties Suldance in place for transferring data securely between COL and 3rd parties Suldance in place for transferring data securely between COL and 3rd parties Suldance in place for transferring data securely between COL and 3rd parties Suldance in place for transferring data securely betwe																																													I
Suldance in place for transferring data securely between COL and 3rd parties Illi staff have read the CoL Security Policy - People									-			\vdash	_				_				\vdash																_			_					+
All staff have read the CoL Security Policy - People													_											_				-	-			_										_			-
							_	_														_										_				\rightarrow									
*Genines - Systems and Data Serurity	All Staff have read the COL Security Policy - People																																				_								
	IT Services - Systems and Data Security																																												

T Services - Systems and Data Security	
Secure storage arrangements are in place and documented to protect records an	d equipment in
event of loss, damage, theft or compromise of personal data.	
Documented procedure in place to securely dispose of records and equipment w	hen no longer
required.	
Hardware and software assets are documented; management policy in place	
Security of mobile working and the use of mobile computing devices in place.	
New and existing hardware configured to reduce vulnerabilities and provide only	the functionality
and services required.	
Controls in place to manage the use of removable media in order to prevent unai	uthorised
disclosure, modification, removal or destruction of personal data stored on it.	
User accounts to authorised individuals set up to provide the appropriate permis	ssions and access
to information.	
Password security policy and rules' in place to detect any unauthorised access or	anomalous use.
Anti-malware defences in place to protect computers from malware infection.	
Routine backs-up of electronic information in place to help restore information in	n the event of
disaster.	
User and system activity logged and monitored to identify and help prevent data	breaches.
Security patching policy is place to prevent the exploitation of technical vulnerab	ilities
Boundary firewalls in place to protect computers from external attack	
Personal data and information under management to identify / rectify potential	risks to security

Key
Not yet started
Partially implemented
Fully implemented
Not applicable to this department

Appendix 2



Example GDPR Compliance Monitor. Dummy information for demonstration purposes only.

GDPR Departmental Self-Audit Monitor							Exceptions
Department:1							
Reporting Period: December 2018							
Reporting Ferrod. December 2010							
		7	_	-	ь	9	
	D1	D2	D3	Ò	D5	9Q	
Compliance Action	Enter	a numbe	er betwe	en 0-3 i	using the		
	defini	itons belo	ow agair	nst each	complian	ce	
	actio	1					
GDPR Risks							
Areas where there are risks to GDPR compliance such as insecure data handling are							
notified to AIN reps and the Compliance Team.	2	2	2		2	2	
	3	2	3	3	3	3	
Awareness - Communication & Guidance							
Any job-specific training needs are identified and being managed	3	2	3	2	1	2	
All staff are aware of the GDPR issues and queries process	3	2	3	3	3	2	
ROPA and Records Management							
Records Retention Schedule in place	3	3	3	3	3	3	
Process for updating Retention Schedule is in place	2	2	2	2	2	2	
ROPA in place	3	3	3	3	3	3	
Process for updating ROPA is in place	1	2	2	2	3	2	
Communicating privacy information							
Privacy notices (how the City of London Corporation as a data controller collects and	0	0	0	0	0	0	
uses personal information) are in place	Ů				Ů	Ů	
Lawful basis for processing personal data - consent							
Records are kept for where consent has been received from the data subject	2	1	2	2	2	1	
Contracts There are written as a second size along for a second size at the size of a second size at th							
There are written agreements in place for new contracts with third party service							
providers and processors, including those who process personal data on behalf of the City of London Corporation as a data controller, that ensure the personal data that they	0	0	0	0	0	0	
access and process is protected and secure.							
Data Subjects Rights							
All relevant staff are aware of the process for an individuals' requests to access their							
personal data (SAR , Right to Access)	1	2	3	3	3	2	
Guidance is in place to respond to individuals' other rights							
Right to rectification							
Right to Erasure							
Right to Restriction	1	1	3	2	2	3	
Right to Data Portability							
Right to Object							
Right to Object to Automated Decision Making / Profiling							
Guidelines for processing children's data are in place	2	2	2	3	3	2	

Data Protection							
All staff have read the CoL Data Protection Policy 2018	3	3	3	2	3	3	
All staff are aware of the Data Protection Impact Assessment Procedure & Guidance	3	3	3	3	3	3	
All relevant staff are aware of the process for identifying and reporting a Data Protection breach	3	3	3	3	3	3	
Electronic communications conform to PECR (Privacy and Electronic Communications Regulations) i.e marketing by phone, email, text; use of cookies or a similar technology on the CoL website; or compiling a telephone directory (or a similar public directory)	3	0	3	3	2	0	
Guidance in place for transferring data securely outside of the EU	0	0	0	0	0	0	
Guidance in place for transferring data securely between CoL and 3rd parties	2	2	3	2	2	3	
All staff have read the CoL Security Policy - People	2	2	2	2	2	2	

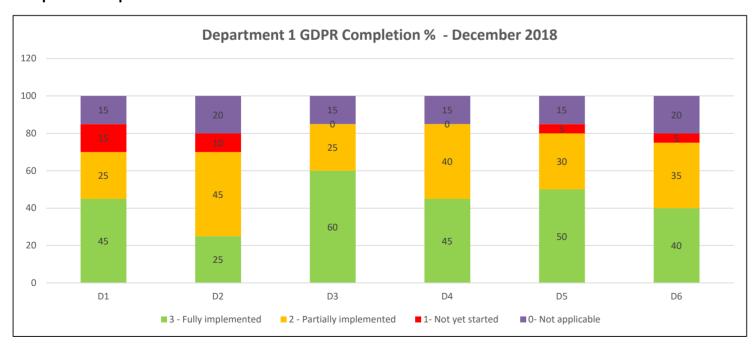
DO NOT ENTER DATA IN THESE CELLS

Count	D1	D2	D3	D4	DS	90
3 - Fully implemented	45	25	60	45	50	40
2 - Partially implemented	25	45	25	40	30	35
1- Not yet started	15	10	0	0	5	5
0- Not applicable	15	20	15	15	15	20

Supplementary Notes

These questions and definitions are largely taken from the ICO GDPR self-assessment tool

Compliance Graph



Appendix 3 Table: Departments completion of the Data Protection E-Learning Programme, as of 1 January 2019

Department	Complete	Percentage	In	Percentage	Not yet	Percentage	Exempt	Percentage	Temporary	Percentage	Total	Overall
			Progress		started				Exempt**			Percentage***
Barbican	367	81.02%	14	3.09%	41	9.05%	21	4.64%	10	2.21%	453	87.86%
CCC/Mansion	143	96.62%	0	0.00%	3	2.03%	2	1.35%	0	0.00%	148	97.97%
House												
Chamberlain's	293	94.82%	3	0.97%	4	1.29%	7	2.27%	2	0.65%	309	97.73%
City Surveyors	247	89.49%	1	0.36%	3	1.09%	21	7.61%	4	1.45%	276	98.55%
Department												
Comptroller's	61	96.83%	0	0.00%	0	0.00%	2	3.17%	0	0.00%	63	100.00%
and City												
Solicitors												
Dept. of the	252	96.92%	3	1.15%	1	0.38%	4	1.54%	0	0.00	260	98.46%
Built												
Environment												
Dept.	336	81.55%	7	1.70%	10	2.43%	54	13.11%	5	1.21%	412	95.87
Communities												
and Children's												
Services												
Guildhall School	280	86.69%	17	5.26%	22	6.81%	3	0.93%	1	0.31%	323	87.93%
of Music and												
Drama												
Markets and	251	91.61%	0	0.00%	2	0.73%	19	6.93%	2	0.73%	274	99.27%
Consumer												
Protection												
Misc.****	4	50.00%	0	0.00%	4	50.00%	0	0.00%	0	0.00%	8	50.00%
Open Spaces	332	68.60%	6	1.24%	31	6.40%	113	23.35	2	0.41	484	92.36%
Remembrancers	30	90.91%	1	3.03%	1	3.03%	1	3.03%	0	0.00%	33	93.94%
Schools*	516	88.36%	14	2.40%	31	5.31%	14	2.40%	9	1.54%	584	92.29%
Town Clerks	317	90.05%	7	1.70%	14	3.40%	9	2.18%	11	2.67%	412	94.90%
Department												
Total	3483		73		167		270		46		4039	

^{*} The totals provide for schools, is a combined total for the city of London School, City of London School for Girls and the City of London Freemen's School.

^{**} Those marked temporary exempt will need to complete the course on their return to work, for example they are on a period of long term absence, maternity leave, etc.

^{***} The overall percentage is a combined total of those who have completed the course, have been made exempt or are temporarily exempt.

^{****}Anyone who has not been assigned a department e.g. Contractors