

Example GDPR Self-Audit Monitor. Dummy information for demonstration purposes only.

GDPR Departmental Self-Audit Monitor						Exceptions
Department : 1 Reporting Period: February 2019						
	D1	D2	D3	D4	D5	
Compliance Action	<i>Enter a number between 0-3 using the definitions below against each compliance action</i>					
GDPR Risks						
Areas where there are risks to GDPR compliance such as insecure data handling are notified to AIN reps and the Compliance Team.	3	3	3	3	3	
Awareness - Communication & Guidance						
Any job-specific training needs are identified and being managed	2	2	2	2	2	New system being introduced : staff to receive additional training
All staff are aware of the GDPR issues and queries process	3	3	3	3	3	
ROPA and Records Management						
Records Retention Schedule in place	3	3	3	3	3	
Process for updating Retention Schedule is in place	2	2	2	2	2	Team meeting to review these
ROPA in place	3	3	3	3	3	
Process for updating ROPA is in place	3	3	3	3	3	
Communicating privacy information						
Privacy notices (how the City of London Corporation as a data controller collects and uses personal information) are in place	3	0	0	3	3	
Lawful basis for processing personal data - consent						
Records are kept for where consent has been received from the data subject	3	0	0	3	3	
Contracts						
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 access and process is protected and secure.	0	0	0	2	3	
Data Subjects Rights						
All relevant staff are aware of the process for an individuals' requests to access their personal data (SAR , Right to Access)	2	2	2	2	2	Compliance team to resend policy document.
Guidance is in place to respond to individuals' other rights						Compliance team to resend policy document.
Right to rectification						
Right to Erasure						
Right to Restriction	2	2	2	2	2	
Right to Data Portability						
Right to Object						
Right to Object to Automated Decision Making / Profiling						
Guidelines for processing children's data are in place	0	0	0	0	0	
Data Protection						
All staff have read the CoL Data Protection Policy 2018	3	3	3	3	3	
All staff are aware of the Data Protection Impact Assessment Procedure & Guidance	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	
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)	2	2	2	2	3	Compliance team to forward guidance notes
Guidance in place for transferring data securely outside of the EU	3	3	3	3	3	
Guidance in place for transferring data securely between CoL and 3rd parties	3	3	3	3	3	
All staff have read the CoL Security Policy - People	2	2	2	2	2	Compliance team to resend policy document.

DO NOT ENTER DATA IN THESE CELLS

Count	D1	D2	D3	D4	D5
3 - Fully implemented	60	50	50	60	70
2 - Partially implemented	30	30	30	35	25
1- Not yet started	0	0	0	0	0
0- Not applicable	10	20	20	5	5

Supplementary Notes

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

Completion Graph

