

## CONTENTS

<b>Introduction</b> .....	<b>1</b>
The purpose of the GDPR.....	2
Structure of the Regulation .....	3
Impact on the EU .....	4
Implementing the GDPR.....	6
A note on the UK and Brexit .....	8
Key definitions.....	9
<b>Part 1: Core considerations for the GDPR</b> .....	<b>13</b>
<b>Chapter 1: Scope, controllers and processors</b> .....	<b>15</b>
Scope of the GDPR.....	15
Controller and processor .....	17
Data controllers .....	17
Joint controllers.....	20
Data processors .....	20
Controllers that are processors.....	22
Controllers and processors outside the EU .....	22
Records of processing .....	24
Demonstrating compliance .....	28
<b>Chapter 2: Data processing principles</b> .....	<b>31</b>
Principle 1: Lawfulness, fairness and transparency .....	33
Principle 2: Purpose limitation.....	40
Principle 3: Data minimisation .....	41
Principle 4: Accuracy.....	43
Principle 5: Storage limitation .....	45
Principle 6: Integrity and confidentiality .....	47
Accountability and compliance.....	48
<b>Chapter 3: Data subjects' rights</b> .....	<b>53</b>
Fair processing .....	54
The right to access .....	56
The right to rectification .....	58

## Contents

The right to be forgotten .....	58
The right to restriction of processing .....	61
The right to data portability .....	63
The right to object.....	65
Rights in relation to automated decision-making .....	66
<b>Part 2: Building compliance.....</b>	<b>69</b>
<b>Chapter 4: Privacy compliance frameworks.....</b>	<b>71</b>
Material scope .....	75
Territorial scope .....	76
Governance .....	78
Objectives .....	80
Key processes.....	82
Personal information management systems.....	87
ISO/IEC 27001:2013 .....	91
Selecting and implementing a compliance framework .....	98
Implementing the framework.....	100
<b>Chapter 5: Information security as part of data protection .....</b>	<b>105</b>
Personal data breaches .....	107
Anatomy of a data breach .....	108
Sites of attack.....	109
Securing your information .....	110
ISO 27001 .....	111
NIST standards.....	112
Ten Steps to Cyber Security .....	113
Cyber Essentials.....	114
The information security policy .....	115
Assuring information security.....	116
Governance of information security .....	117
Information security beyond the organisation's borders.....	119
<b>Chapter 6: Lawfulness and consent .....</b>	<b>121</b>

## *Contents*

Consent in a nutshell .....	122
Withdrawing consent .....	125
Alternatives to consent.....	126
Practicalities of consent .....	129
Children.....	131
Special categories of personal data .....	134
Data relating to criminal convictions and offences.....	135
<b>Chapter 7: Subject access requests .....</b>	<b>137</b>
Receiving a request .....	138
The information to provide .....	138
Data portability .....	140
Responsibilities of the data controller.....	141
Processes and procedures.....	142
Options for confirming the requester's identity .....	144
Records to examine.....	147
Time and money .....	148
Dealing with bulk subject access requests .....	149
Right to refusal.....	149
The process flow .....	150
<b>Chapter 8: Role of the data protection officer .....</b>	<b>153</b>
Voluntary designation of a data protection officer .....	159
Undertakings that share a DPO.....	160
DPO on a service contract.....	161
Publication of DPO contact details .....	163
Position of the DPO .....	164
Necessary resources .....	166
Acting in an independent manner .....	167
Protected role of the DPO .....	169
Conflicts of interest.....	170
Specification of the DPO .....	171
Duties of the DPO .....	174
The DPO and the organisation.....	178
The DPO and the supervisory authority.....	180

## Contents

Data protection impact assessments and risk management .....	181
In-house or contract .....	182
<b>Chapter 9: Data mapping.....</b>	<b>185</b>
Objectives and outcomes .....	186
Four elements of data flow .....	187
Data mapping, DPIAs and risk management.....	188
<b>Part 3: Data protection impact assessments and risk management.....</b>	<b>195</b>
<b>Chapter 10: Requirements for data protection impact assessments.....</b>	<b>197</b>
DPIAs.....	199
Consulting with stakeholders .....	210
Who needs to be involved? .....	211
Data protection by design and by default .....	213
<b>Chapter 11: Risk management and DPIAs .....</b>	<b>217</b>
DPIAs as part of risk management .....	218
Risk management standards and methodologies .....	218
Risk responses.....	229
Risk relationships.....	231
Risk management and personal data.....	233
<b>Chapter 12: Conducting DPIAs.....</b>	<b>235</b>
Five key stages of the DPIA .....	236
Identify the need for the DPIA.....	236
Objectives and outcomes .....	238
Consultation .....	240
Describe the information flow .....	243
Identify privacy and related risks.....	244
Identify and evaluate privacy solutions .....	247
Sign off and record the outcome.....	250
Integrating the DPIA into the project plan.....	252
<b>Part 4: International transfers and incident management.....</b>	<b>253</b>

## Contents

<b>Chapter 13: Managing personal data internationally</b> .....	<b>255</b>
Key requirements .....	257
Adequacy decisions .....	258
Safeguards.....	260
Binding corporate rules.....	263
Standard contractual clauses .....	263
Limited transfers .....	265
Cloud services.....	265
<b>Chapter 14: Incident response management and reporting</b> .....	<b>267</b>
Notification .....	268
Events vs incidents.....	271
Types of incident.....	272
Cyber security incident response plans.....	273
Key roles in incident management.....	275
Prepare .....	276
Respond.....	277
Follow up .....	279
<b>Part 5: Enforcement and transitioning to compliance</b> .....	<b>283</b>
<b>Chapter 15: GDPR enforcement</b> .....	<b>285</b>
The hierarchy of authorities .....	285
One-stop-shop mechanism.....	287
Duties of supervisory authorities .....	288
Powers of supervisory authorities .....	289
Duties and powers of the European Data Protection Board .....	290
Data subjects' rights to redress .....	291
Administrative fines.....	292
The Regulation's impact on other laws .....	296
<b>Chapter 16: Transitioning and demonstrating Compliance</b> .....	<b>299</b>

## *Contents*

Transition frameworks .....	299
Using policies to demonstrate compliance .....	301
Codes of conduct and certification mechanisms.....	306
<b>Appendix 1: Index of the Regulation .....</b>	<b>309</b>
<b>Appendix 2: EU/EEA national supervisory authorities .....</b>	<b>317</b>
<b>Appendix 3: Implementation FAQ.....</b>	<b>321</b>
<b>IT Governance resources .....</b>	<b>385</b>
Publishing services.....	385
Certified GDPR training and staff awareness.....	387
IT Governance training centre .....	387
Professional services and consultancy .....	389
Newsletter .....	390