

Information Regarding First Year Audits

During the COVID-19 outbreak, we will not be conducting face-to-face audits and have therefore had to cancel all audit appointments booked with us.

In order for us to fulfil our statutory duty and our service level agreement with you, we will do all we can to conduct an audit so far as is possible. Please read on for details on how we will now be approaching audits and what we need from you.

Remote Audit process

BACKGROUND INFORMATION REQUESTED FROM YOU

Below is a list of documents/information we kindly ask you to forward to the DPO Service for review:

- A copy of your completed data mapping exercise
- A list of the occasions when you have requested consent from data subjects or parents to process data - this information can be extracted from your data mapping exercise.
- A sample of the consent documents you have shared with parents, pupils and members of staff.
- A copy of your data protection policy and details of where your data protection policy is published
- The name and contact details of your DC or the individual that will be available to us during the visit
- A copy of your privacy notices and details of where your privacy notices are published
- A copy of your data breach log and data breach incident reporting form
- A sample of your GDPR training materials (if different to those provided by the School DPO Service)
- A copy of your training log
- A list of third parties who you share data with
- A sample of the written contracts you have in place for data sharing with third parties
- A sample of the data sharing agreements you have in place for data sharing with third parties (if applicable)
- A copy of your subject access request log (redacted where appropriate)
- A copy of your information security policy and details of where this policy is published
- A copy of your DPIA log and an example of a completed DPIA

Additional note for Academy Trusts/federations: If your policies are centralised, we will only require you to send one set of these documents. However, if you use different documentation, we would like to view the separate documents.

We kindly ask that you provide as much information as you can to enable us to carry out as much of the audit as possible, and to give us an idea of areas where you may need the most support and guidance.

The Audit Format

Section 1 – Review of documentation and further enquiries

We will review your GDPR documentation, as listed above, to assess where your school is at with GDPR compliance. This will enable us to identify where things are going well and where you may need further support.

It would be helpful if we could have a discussion over the telephone or via email, with your data champion in relation to:

- Training and Awareness
- Data Sharing
- Data Protection Impact Assessments
- Records Management/Data Retention
- Information Security

We will approach the above by either forwarding a questionnaire to your data champion via email or booking a 20-minute telephone appointment with your Data Champion to work through various questions relating to the above.

Section 2 – Walk around

We hope to conduct a quick walk-around of the school. To enable us to do this, we are hoping to do a site visit to each of our schools during the summer term. This will be by appointment only and we envisage taking no longer than 20-30 minutes. This will of course depend on how the current situation develops. If we are able to carry out a site visit, we will be in touch to arrange a convenient time.

The Audit Report

After we have completed the remote section of your audit, we will collate our findings into a report and forward this via email to your data champion. We will do this as soon as we possibly can. Due to the ever changing circumstances, we ask you to be patient with us whilst we look to complete as many audits and reports as we can.

If we are able to visit schools later in the year, we will look to provide an addendum to the report which will capture the findings of our observations.

Please remember that we are here to work with you and to provide support and assistance where we can. If any areas for improvement are highlighted during the audit, the School DPO Service will make recommendations to the school and support you with implementing those recommendations.

Should you have any queries or concerns, please do not hesitate to contact the DPO Service.