

# Data Protection requirements

## BHBIA Checklist to help you audit your data processing

### Introduction

The first step in processing personal data in line with data protection requirements is to make sure that you understand what personal data you process. The BHBIA's Ethics & Compliance Committee recommends that you audit - review and take stock of - the personal data you handle. The data protection requirements referred to are those detailed within the General Data protection Regulation (GDPR) and the Data Protection Act (DPA) 2018.

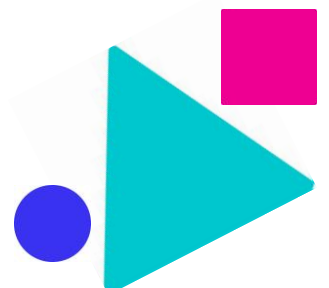
### Checklist to help you audit your data processing

To help you audit your personal data processing, we've compiled a list of questions – see overleaf.

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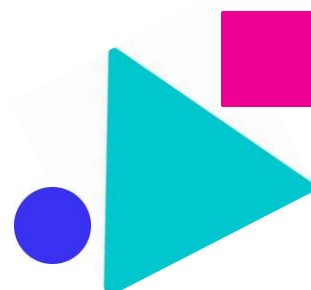
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## Checklist to help you audit your data processing

What you need to know	Why you need to know this
'PD' refers to personal data	
<b>Your role</b>	
Are you/is your organisation acting as a sole or joint data controller or a data processor?	<i>As a controller or processor you should understand your responsibilities and liabilities, they may differ in some respects Extensive terms need to be included in contracts between controllers and processors</i>
If you're not a data controller, who is and do you have their contact details?	<i>This information must be supplied to secure the informed consent of the data subject</i>
If you're a data processor, do you subcontract to other processors?	<i>Processors must have the written consent of the controller to appoint sub-processors Sub-processors e.g. freelancers will be required to adhere to the GDPR/DPA 2018 too</i>
<b>Source and types of data</b>	
What is the source of the PD you hold (e.g. data subject, client, publicly accessible source, social media platform/space)?	<i>The information that must be provided to secure informed consent and the time at which it must be given, can vary depending on where the PD is obtained from</i>
What types of individuals (e.g. adults, children) do you hold PD about?	<i>There are different requirements for different types of individuals</i>
What types of PD (special categories/sensitive data such as health records) do you hold?	<i>Contracts must document the specifics of the data processing</i>
<b>Type and purpose of processing</b>	
What types of processing do you undertake e.g. collecting, recording, storing, analysing?	<i>You will have to keep detailed internal records of processing activities</i>
What is the purpose of the data processing?	<i>This will limit what the data can be used for</i>
Do you make any decisions based on automated processing or profiling of individuals?	<i>Privacy Impact Assessments will be mandatory for automated processing that result in automated decisions that have a significant impact or legal effects</i>
<b>High risk data processing</b>	
Do you carry out 'high risk' data processing - this might involve sensitive data, vulnerable individuals or children, processing PD on a large scale or automated profiling of individuals?	<i>You may need to appoint a Data Protection Officer You will need to complete privacy impact assessments for riskier activities You will need to be able to identify the value and sensitivity of the data as well as threats to it</i>
If their PD was disclosed how likely is it and how severe would any harm be to data subjects (e.g. reputational damage, loss of confidentiality)?	



<b>Your legal basis for processing</b>	
What is the basis you use for data processing – consent, legitimate interests or research exemption?	<i>You must have a legal basis for processing PD The legal basis will affect what you can and can't do with the data</i>
Is consent 'verifiable' – do you have a record of how and when consent was given?	<i>You will be required to have verifiable consent and keep records of it</i>
What rights has the data subject been told they have?	<i>Data subjects must be clearly informed of all their rights – access, rectify, erasure, restrict processing, data portability, to object</i>
<b>Data minimisation</b>	
Do you pseudonymise the PD as soon as possible?	<i>You will need to pseudonymise PD as soon as possible (but remember pseudonymised data is still PD if you have the means to reverse the pseudonymisation)</i>
Have you collected any non-essential PD?	<i>Data minimisation will be required</i>
<b>Record keeping</b>	
Do you keep a record of the PD you process?	<i>You will need a detailed and documented record keeping process because demonstrable processes to ensure accountability will be required</i>
<b>Sharing PD and transferring it overseas</b>	
Who is the PD shared with?	<i>PD received must be limited as far as possible</i>
Do you transfer PD to other countries, if so which ones and are they outside the EEA?	<i>Onward transfer of PD must be limited You must adhere to cross border requirements and restrictions</i>
Do you have a policy/process in place if you receive a request for access to or erasure of PD?	<i>Systems must be able to cope with the new rights to data portability, the right to be forgotten and they must record objections or withdrawal</i>
<b>Access, storage and security</b>	
Where is the PD stored?	<i>Appropriate safeguards – technical and organisational – will need to be in place All PD must be kept secure Physical (e.g. locked doors) and virtual security (e.g. encryption) is required Virus and perimeter protection (e.g. firewalls) should be used</i>
Who has access to it?	
How is access controlled?	
How is it kept secure (what technical and organisational methods do you use)?	
Is the PD accurate and up to date?	<i>You must maintain accurate and up to date data databases</i>
How long will the PD be retained for?	<i>Contracts must document duration of storage You must have clear data retention policies Storage should be limited</i>
Do you have a data retention policy?	
How do you make sure PD is securely deleted or returned?	<i>You must have clear data deletion policies</i>
<b>Data breaches</b>	
What would you do if PD was lost or disclosed accidentally?	<i>You will be required to have a data breach detection, investigation, internal reporting and notification processes Certain types of data breach must be reported to the Information Commissioner's Office (ICO) and sometimes to the data subject</i>

