

Annex D.1: Preparatory Meeting Agenda

1. Introductions

- Meet the data protection personnel and senior management of the organisation (if possible).
- Establish who is the key Data Protection contact within the organisation for liaison purposes before, during and after the audit.

2. Data Processing Activities

It is vital to establish from the outset what aspects of the organisation's activities come under the scope of the Data Protection Act. The questions that need to be asked are:

- Who is the Data Controller?
- Is the organisation involved in processing personal data?
- Is any of this personal data also sensitive?
- Does the organisation use any paper records which would fall within the definition of a "relevant filing system"?
- Are there any special purposes for which the data is used? E.g. journalistic, in-house newsletter etc.

3. Adequacy Audit

- Discuss what documentation the organisation should send in advance for the auditor(s) to conduct the Adequacy Audit and when it will be available.
- Outline the options open to the organisation in the event of an unsatisfactory Adequacy Audit.

4. Scope of the Compliance Audit

Once the existence of personal data processing has been established you can go on to discuss the scope of the compliance audit in more detail:

- Discuss what departments and/or functions will be involved.
- Discuss when the Audit could start and indicate the likely duration.
- Indicate which staff within the organisation are likely to be involved in the audit.

5. Compliance Audit Protocols

- Agree when and where the Opening and Closing Meetings will take place and who will be present.
- Discuss the likely schedule for the auditor(s) visiting the departments/functions and which members of staff will be involved at each stage.
- Inform the organisation of what type of written/oral feedback will be presented after the Audit, i.e. Compliance Audit Report with associated Non-compliance Reports.
- Discuss the arrangements for any potential follow-up audits/visits to confirm that any required corrective action has been taken.

6. Practical Arrangements

It is important to establish exactly which facilities will be required by the Auditor(s) during the Audit including:

- Access to premises
- Base room/office availability
- Working space, desks, furniture etc.
- Access to IT equipment
- Access to telephones, photocopiers, shredders etc.

7. Tour of the Premises

It is always good practice for Auditors to carry out a brief tour of the premises at the end of the Preparatory Meeting. This will help them to:

- Familiarise themselves with the layout of the building(s) and the nature of the organisation's products and services.
- Ascertain the status of the organisation's Data Protection System and judge how well it is prepared for an Audit.
- Prepare an initial Audit Plan, e.g. size of Audit team, skills required, likely duration.

Annex D.2: Opening Meeting Agenda

The purpose of the opening meeting is for the auditor(s) to meet the organisation's senior staff involved in Data Protection and confirm the details of the Compliance Audit as originally discussed at the Preparatory Meeting. It is recommended that the following outline agenda is used for conducting this meeting:

1. Introductions

2. Scope of the Audit

- Confirm which departments and/or functions will be involved in the Audit
- Confirm which members of staff within the organisation will be involved in the Audit and any associated Data Protection Awareness Interviews and/or Focus Groups.

3. Audit Protocol

- Confirm the schedule for the auditor(s) visiting the departments/functions and which members of staff will be involved at each stage, i.e. supply a copy of the Audit Plan.
- Confirm the time and location of the Closing Meeting and establish who will be present.
- Confirm the format of written/oral feedback that will be presented at the Closing Meeting, i.e. Compliance Audit Report with associated Non-compliance Reports.
- Discuss the arrangements for any potential follow-up audits/visits to confirm that any required corrective action has been taken.

4. Practical Arrangements

- Confirm the availability of a base room for the Auditor(s).
- Check on the facilities available in the base room.

Annex D.3: Closing Meeting Agenda

The purpose of this final meeting is for the Auditor(s) to present their findings to the organisation's key data protection staff and agree any required programme of corrective action. It is recommended that the following outline agenda is used for conducting the Closing Meeting:

1. Introductions

- Thank the organisation for their assistance, co-operation and hospitality
- Deal with any issues of confidentiality
- Emphasise that the auditing process can only sample the Data Protection System at a particular moment in time
- Ask the management team to defer any questions until after the findings have been presented

2. Presentation of Findings

- Presentation of the detailed findings which involves:
 - Confirmation of each non-compliance found
 - Agreement to suitable corrective action for each non-compliance
 - Indication of timescales for completion of corrective action
- Ask other members of the Audit Team to report if appropriate
- Presentation of an Audit summary including a judgement of the level of Data Protection compliance achieved by the organisation
- Invite questions for clarification and provide immediate answers wherever possible

3. Post Audit Reporting

- Explain to the management team the nature of summary report they will receive, e.g. Compliance Audit Report together with associated Non-compliance Reports etc.
- Establish the organisation's requirements for distribution of the summary report

4. Audit Follow-up

- Agree the nature of any required follow-up visit, e.g. documentation check, partial re-audit or full re-audit
- Arranging the timescale for any required follow-up visit

IC	INTERVIEW/FOCUS GROUP RECORD SHEET	Audit Reference	
Organisation		Page	1
Department		Interview Date/Time	
ATTENDEES			
Name	Position	Time with organisation	
DETAILS OF DISCUSSION			
Question 1	What can you tell me about the Data Protection Act 1998?		
Question 2	Can you tell me what you would expect the term, Data Protection to mean?		
Question 3	From the data you use, what would you consider as 'personal data'?		
Question 4	From the data you use, what would you consider as 'sensitive personal data'?		
Question 5	Can you describe your organisational/departmental policy/procedures regarding your handling/use of these types of data?		
Question 6	Can you tell me how this policy/these procedures affect your own particular job?		

IC	INTERVIEW/FOCUS GROUP RECORD SHEET	Audit Reference	
Organisation		Page	2
Department		Interview Date/Time	
DETAILS OF DISCUSSION			
Question 7	Can you describe any Data Protection training/guidance you have received? (Ask to see any documentation if available e.g. staff handbook entry, DP guidelines etc)		
Question 8	How do you/does your department collect personal data/sensitive personal data?		
Question 9	Where is this data held/stored? E.g. filing cabinets/databases etc		
Question 10	What are the sources of this data? e.g. references, application forms, marketing lists, information transferred from another department etc		
Question 11	Are you authorised to make disclosures of this data within your organisation/outside your organisation? If so, please describe this process.		
Question 12	Can you describe your department's security procedures: e.g.		
a) How often do you change your password? b) How are data kept secure? c) How are personal data/sensitive personal data disposed of/destroyed?			
Auditor Name		Signature	