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## Maintain Governance Structure

Ensure that there are individuals responsible for data privacy, accountable management, and management reporting procedures



### PRIVACY MANAGEMENT ACTIVITIES

- Assign responsibility for data privacy to an individual (e.g. Privacy Officer, General Counsel, CPO, CISO, EU Representative)
- Engage senior management in data privacy (e.g. at the Board of Directors, Executive Committee)
- Appoint a Data Protection Officer (DPO) in an independent oversight role
- Assign responsibility for data privacy throughout the organization (e.g. Privacy Network)
- Maintain roles and responsibilities for individuals responsible for data privacy (e.g. job descriptions)
- Conduct regular communication between the privacy office, privacy network and others responsible/accountable for data privacy
- Engage stakeholders throughout the organization on data privacy matters (e.g. information security, marketing, etc.)
- Integrate privacy into the Data Ethics/Stewardship program
- Report to internal stakeholders on the status of privacy management (e.g. board of directors, management)
- Report to external stakeholders on the status of privacy management (e.g. regulators, third-parties, clients)
- Manage enterprise privacy risk consistent with organizational objectives
- Integrate data privacy into business risk assessments/reporting data
- Align privacy strategy with organizational objectives
- Maintain a privacy program charter/mission statement
- Require employees to acknowledge and agree to adhere to the data privacy policies

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## Maintain Personal Data Inventory and Data Transfer Mechanisms

Maintain an inventory of the location of key personal data storage or personal data flows, including cross-border, with defined classes of personal data



### PRIVACY MANAGEMENT ACTIVITIES

- Maintain an inventory of personal data and/or processing activities
- Classify personal data by type (e.g. sensitive, confidential, public)
- Obtain regulator approval for data processing (where prior approval is required)
- Register databases with regulators (where registration is required)
- Maintain documentation of data flows (e.g. between systems, between processes, between countries)
- Maintain documentation of the transfer mechanism used for cross-border data flows (e.g., model clauses, BCRs, regulator approvals)
- Use Binding Corporate Rules as a data transfer mechanism
- Use contracts as a data transfer mechanism (e.g. Standard Contractual Clauses)
- Use APEC Cross Border Privacy Rules as a data transfer mechanism
- Use the Data Privacy Framework as a data transfer mechanism
- Use regulator approval as a data transfer mechanism
- Use adequacy or one of the derogations (e.g. consent, performance of a contract, public interest) as a data transfer mechanism

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## Maintain Internal Data Privacy Policy

Maintain a data privacy policy that meets legal requirements and addresses operational risk and risk of harm to individuals



### PRIVACY MANAGEMENT ACTIVITIES

- Maintain a data privacy policy
- Maintain an employee data privacy policy
- Maintain an organizational code of conduct that includes privacy
- Document legal basis for processing personal data
- Integrate ethics into data processing (Codes of Conduct, policies and other measures)

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## Embed Data Privacy Into Operations

Maintain operational policies and procedures consistent with the data privacy policy, legal requirements, and operational risk management objectives



### PRIVACY MANAGEMENT ACTIVITIES

- Maintain policies/procedures for collection and use of sensitive personal data (including biometric data)
- Maintain policies/procedures for collection and use of children and minors' personal data
- Maintain policies/procedures for maintaining data quality
- Maintain policies/procedures for the de-identification of personal data
- Maintain policies/procedures to review processing conducted wholly or partially by automated means
- Maintain policies/procedures for algorithmic accountability
- Maintain policies/procedures for secondary uses of personal data
- Maintain policies/procedures for obtaining valid consent
- Maintain policies/procedures for secure destruction of personal data
- Integrate data privacy into use of cookies and tracking mechanisms
- Integrate data privacy into records retention practices
- Integrate data privacy into direct marketing practices
- Integrate data privacy into e-mail marketing practices
- Integrate data privacy into telemarketing practices
- Integrate data privacy into digital advertising practices (e.g. online, mobile)
- Integrate data privacy into hiring practices
- Integrate data privacy into the organization's use of social media
- Integrate data privacy into Bring Your Own Device (BYOD) policies/procedures
- Integrate data privacy into health & safety practices
- Integrate data privacy into interactions with works councils
- Integrate data privacy into practices for monitoring employees
- Integrate data privacy into use of CCTV/video surveillance
- Integrate data privacy into use of geo-location (tracking and or location) devices
- Integrate privacy into the System Development Life Cycle
- Integrate data privacy into policies/procedures regarding access to employees' company e-mail accounts
- Integrate data privacy into e-discovery practices
- Integrate data privacy into conducting internal investigations
- Integrate data privacy into practices for disclosure to and for law enforcement purposes
- Integrate data privacy into research practices (e.g. scientific and historical research)

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## Maintain Training and Awareness Program

Provide ongoing training and awareness to promote compliance with the data privacy policy and to mitigate operational risks



### PRIVACY MANAGEMENT ACTIVITIES

- Conduct privacy training
- Conduct privacy training reflecting job specific content
- Conduct regular refresher training
- Incorporate data privacy into operational training (e.g. HR, marketing, call centre)
- Deliver training/awareness in response to timely issues/topics
- Deliver a privacy newsletter, or incorporate privacy into existing corporate communications
- Provide a repository of privacy information (e.g. an internal data privacy intranet)
- Maintain privacy awareness material (e.g. posters and videos)
- Conduct privacy awareness events (e.g. an annual data privacy day/week)
- Measure participation in data privacy training activities (e.g. number of participants, scoring)
- Enforce the requirement to complete privacy training
- Provide ongoing education and training for the Privacy Office and/or DPOs
- Maintain qualifications for individuals responsible for data privacy, including certifications

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## Manage Information Security Risk

Maintain an information security program based on legal requirements and ongoing risk assessments



### PRIVACY MANAGEMENT ACTIVITIES

- Integrate data privacy risk into security risk assessments
- Integrate data privacy into the information security program
- Maintain technical security measures (e.g. intrusion detection, firewalls, monitoring)
- Maintain measures to encrypt personal data
- Maintain an acceptable use of information resources policy
- Maintain procedures to restrict access to personal data (e.g. role-based access, segregation of duties)
- Integrate data privacy into a corporate security policy (protection of physical premises and hard assets)
- Maintain human resource security measures (e.g. pre-screening, performance appraisals)
- Integrate data privacy into business continuity plans
- Maintain a data-loss prevention strategy
- Conduct regular testing of data security posture
- Maintain a security certification (e.g. ISO, NIST, SOC)

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## Manage Third-Party Risk

Maintain contracts and agreements with third-parties and affiliates consistent with the data privacy policy, legal requirements, and operational risk tolerance



### PRIVACY MANAGEMENT ACTIVITIES

- Maintain defined roles and responsibilities for third parties (e.g. partners, vendors, processors, customers)
- Maintain procedures to execute contracts or agreements with all processors
- Conduct due diligence around the data privacy and security posture of potential vendors/processors
- Conduct due diligence on third party data sources
- Maintain a third party data privacy risk assessment process
- Maintain a policy governing use of cloud providers
- Maintain procedures to address instances of non-compliance with contracts and agreements
- Conduct due diligence around the data privacy and security posture of existing vendors/processors
- Review long-term contracts for new or evolving data privacy risks

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## Maintain Notices

Maintain notices to individuals consistent with the data privacy policy, legal requirements, and operational risk tolerance



### PRIVACY MANAGEMENT ACTIVITIES

- Maintain a data privacy notice
- Provide data privacy notice at all points where personal data is collected
- Provide notice by means of on-location signage, posters
- Provide notice in marketing communications (e.g. emails, flyers, offers)
- Provide notice in contracts and terms
- Maintain scripts for use by employees to explain or provide the data privacy notice
- Maintain a privacy Seal or Trustmark on the website to increase customer trust

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## Respond to Requests and Complaints from Individuals

Maintain effective procedures for interactions with individuals about their personal data



### PRIVACY MANAGEMENT ACTIVITIES

- Maintain procedures to address complaints
- Maintain procedures to respond to requests for access to personal data
- Maintain procedures to respond to requests and/or provide a mechanism for individuals to update or correct their personal data
- Maintain procedures to respond to requests to opt-out of, restrict or object to processing
- Maintain procedures to respond to requests for information
- Maintain procedures to respond to requests for accounting for disclosures, transfers and sharing of data
- Maintain procedures to respond to requests for data portability for erasure of data
- Maintain procedures to respond to requests to be forgotten or from individuals
- Investigate root causes of data privacy complaints
- Obtain feedback from individuals about privacy
- Monitor and report metrics for data privacy complaints (e.g. number, root cause)

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## Monitor for New Operational Practices

Monitor organizational practices to identify new processes or material changes to existing processes and ensure the implementation of Privacy by Design principles



### PRIVACY MANAGEMENT ACTIVITIES

- Integrate Privacy by Design into data processing operations
- Maintain PIA/DPIA guidelines and templates
- Conduct Impact Assessments for new programs, systems, processes
- Conduct PIAs or DPIAs for changes to existing programs, systems, or processes
- Engage external stakeholders (e.g., individuals, privacy advocates) as part of the PIA/DPIA process
- Track and address data protection issues identified during PIAs/DPIAs
- Report PIA/DPIA analysis and results to regulators (where required) and external stakeholders (if appropriate)

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## Maintain Data Privacy Breach Management Program

Maintain an effective data privacy incident and breach management program



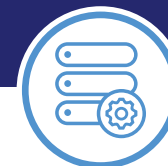
### PRIVACY MANAGEMENT ACTIVITIES

- Maintain a data privacy incident/breach response plan
- Maintain a breach notification (to affected individuals) and reporting (to regulators, credit agencies, law enforcement) protocol
- Maintain a log to track data privacy incidents/breaches
- Monitor and report data privacy incident/breach metrics (e.g. nature of breach, risk, root cause)
- Conduct periodic testing of data privacy incident/breach plan
- Engage a breach response remediation provider
- Engage a forensic investigation team
- Obtain data privacy breach insurance coverage

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## Monitor Data Handling Practices

Verify operational practices comply with the data privacy policy and operational policies and procedures, and measure and report on their effectiveness



### PRIVACY MANAGEMENT ACTIVITIES

- Conduct self-assessments of privacy management
- Monitor effectiveness of privacy controls
- Conduct ad-hoc walk-throughs
- Conduct ad-hoc assessments based on external events, such as complaints/breaches
- Engage a third party to conduct audits/assessments
- Monitor and report privacy management metrics
- Maintain documentation as evidence to demonstrate compliance and/or accountability
- Use interoperable frameworks to monitor and report on privacy risks
- Maintain certifications, accreditations or data protection seals for demonstrating compliance to regulators

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## Track External Criteria

Track new compliance requirements, expectations, and best practices



### PRIVACY MANAGEMENT ACTIVITIES

- Identify ongoing privacy compliance requirements e.g., law, case law, codes, etc.
- Maintain subscriptions to compliance reporting service/law firm updates to stay informed of new developments
- Attend/participate in privacy conferences, industry association, or think-tank events
- Record/report on the tracking of new laws, regulations, amendments or other rule sources
- Seek legal opinions regarding recent developments in law
- Identify and manage conflicts in law
- Document decisions around new requirements, including their implementation or any rationale behind decisions not to implement changes