Personal Data Protection Certifications

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Speaker’s introduction

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Agenda

**GDPR and certification**
- What is required in articles 40 to 43
- How are certifications referred to in GDPR

**Data protection certifications market**
- Certifications market history & analysis
- Current main certification schemes
- Existing and future standards

**National initiatives**
- Italian ISDP 10003:2015

**Conclusions**
What is required in articles 40 to 43

Articles 40 & 41 – Codes of conduct
✓ Prepared by associations and other bodies representing categories of controllers or processors to specify the application of GDPR
✓ Subject to supervisory authority opinion
✓ Compliance can be monitored by bodies with appropriate level of expertise and accredited by the supervisory authority

Articles 42 & 43 – Certification
✓ Issued by certification bodies or supervisory authority on the basis of criteria approved by that competent supervisory authority / board
✓ Voluntarily usable by controllers and processors
✓ With maximum 3 years of validity, focussing on processing operations*
✓ Certification bodies must be accredited by the competent supervisory authority or by the national accreditation body in accordance with EN-ISO/IEC 17065/2012 and with the additional requirements established by the supervisory authority

* Processes and services are referenced by recital 100
How are certifications referred to in GDPR

Code of conducts or certification mechanisms are selectively referred to as: “element by which to demonstrate compliance with the obligations / requirements” expressed within GDPR articles.

Key references are found in the following articles:

<table>
<thead>
<tr>
<th>Art.24 Responsibility of the controller</th>
<th>Code of conduct Art.40</th>
<th>Certification Art.42</th>
</tr>
</thead>
<tbody>
<tr>
<td>Art.25 Data protection by design and by default</td>
<td>✓</td>
<td>✓</td>
</tr>
<tr>
<td>Art.28 Processor</td>
<td>✓</td>
<td>✓</td>
</tr>
<tr>
<td>Art.32 Security of processing</td>
<td>✓</td>
<td>✓</td>
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</tbody>
</table>
Certifications market history & analysis

Source: CRISP workshop September 30th 2016
Current main certification schemes

Quick fact sheets

Privacy Mark
~ 21,000 certificates
est. 1998, Japan
PIMS

Label CNIL
~ 90 certificates
est. 2011, France
Processes

EuroPriSe
~ 70 certificates
est. 2008, Germany
PIMS

ePrivacyseal
~ 100 certificates
est. 2011, Germany
Products and services
Existing and future standards

JIS 15001:2006, Personal Information Protection Management System requirements

- Protection of rights and interests of individuals in business PII processings
- PDCA organized management system
- Personal Information Protection Policy
- Specification of personal information (registry)
- Risk analysis and recognition (in each relevant aspect)
- Personal Information Protection Manager
- Procedures for state of emergency
- **Principles on acquisition, use and provision** (including notice, consent
- **Rights concerning personal information** (modifying, erasing ...)
- Education of employees
- Not directly related with GDPR or HLS
Existing and future standards

BS 10012:2017, Specification for a personal information management system

- Recently revised in line with the GDPR, **cross references in each paragraph**
- Management system using ISO HLS
- PIMS policy including data protection principles
- Data inventory and data flow analysis process
- Data protection impact and risk assessment processes providing inputs for treatment and related with PbD
- DPO and other managerial responsibility specification
- Record of privacy notices and link to relevant personal information
- Specification of security measures and management of security breaches
- Exercise of rights from natural persons (including "to be forgotten" and "portability")
- State-of-the-art work but not certifiable
ISO/IEC 27552, Enhancement to ISO/IEC 27001 for privacy management

- Work in progress (2nd WD), completion planned for April 2019
- Not stand-alone document, following ISO/IEC 27009 setup
- PIMS approach recalled
- Strong focus on controls
- Still too early to be evaluated

Alan SHIPMAN will tell us more in a few minutes
National initiatives

Italian ISDP 10003:2015, international system for personal data protection

- Proprietary scheme endorsed by Accredia but not by the national DPA
- DPO responsibility specification
- Privacy manual (including registry and responsibility attributions)
- Documentation requirements (including DPIA and nationally required documents)
- Processing principles including GDPR
- Annex with 57 mandatory control objectives
- High-level, poorly defined management system
Conclusions

1. Several data protection certification / seal / mark initiatives are under way and more will randomly follow.

2. Their average linkability to GDPR is not high but will increase. Many would nevertheless still lack necessary quality.

3. Coordinated European initiatives aimed at producing something on the topic are still missing and should be stimulated.
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