



# GDPRiS Platform v2 Guidance for Users

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## DP Staff

## Internal Audit

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## Internal Audit Overview

This document is to show you how to set up and run through an internal audit to review your GDPR compliance.

There are two sections which make up the Internal Audit process of question sets in the Internal Audit, **Personal Questions** and the **Organisation Questions**.

**Personal Questions** will be questions which each member of staff would be required to answer regarding their data protection.

**Organisation Questions** would typically be answered by DP Staff users only. These are designed to cover the school, rather than individual responses.

Information from the audit such as user responses to questions can be found in the following reports in the Reports section:

**Users and Staff Reviews:** Shows how many questions each user has answered from each section.

**Staff Data Protection Self-Assessment:** Shows each question which a user has answered and their response.

**All SAQ Responses:** These are the responses from just the Organisation questions which the DP Staff users have answered.

## Internal Audit Settings

### Internal Audit Components

Click on **Internal Audit Settings** via the **Audits** area on the navigation pane.

There are two audits which you can schedule independently.


The **Organisation Questions** and the **Personal Questions**

Internal Audit Settings				
Audit Type	Status	Description	Start Date	End Date
School Organisation Questions	No Reminder Set			
School Personal Questions	No Reminder Set			

The **School Organisation Questions** address the ICO's Accountability Framework. These questions can be answered by any DP Staff user. The other DP Staff users will be able to see the saved responses.

The **Personal Questions** are questions which are to be answered by all your users within the GDPRiS portal. These questions will cover what your staff do and do not know about data protection and your school's relevant processes and procedures.

## Setting a Reminder to Start an Internal Audit

Before an Internal Audit is started, you can set a reminder in the GDPRiS portal to remind you when you are expected to start your Internal Audit for the relevant section via the 

A popup window will appear where you can provide a description for the audit which you are setting a reminder and choose a date which you want the audit to start on.

Once you are happy with your changes, click **Okay**.

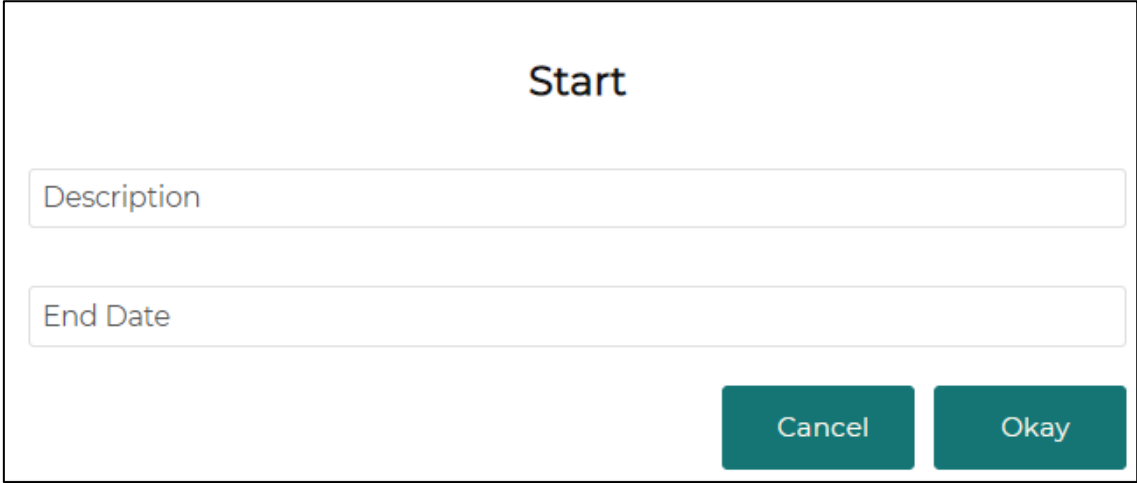
### Set Reminder

CancelOkay

## Start an Internal Audit

When you wish to start one of your Internal Audit sections, click on ▶ to the right-hand side of the relevant audit.

A popup window will appear where you can give a description and where you can set the end date.



The image shows a modal window titled "Start". It contains two text input fields: "Description" and "End Date". At the bottom right, there are two buttons: "Cancel" and "Okay".

**Note:** The **End Date** will only allow you to go as far as 3 months from the **Start date**.

Once you are happy with the changes you have made, click **Okay** to save your changes and to start your Internal Audit for the relevant section.

## Organisation Questions

### Organisation Questions

The Organisation Questions are expected to be answered by any DP Staff user. These are questions which need to be answered on behalf of the school as a whole as they cover various aspects such as your schools processes and procedures as well as if your school can provide evidence to back up the answers which you will put.

To start answering your Internal Audit questions, click on **Audits** in the navigation menu on the left-hand side of the page and choose **Internal Audit**.

The screenshot shows the 'Internal Audit' interface. At the top, there is a 'Select Type' dropdown menu set to 'School Organisation Questions'. To the right are 'Save' and 'Complete and Lock' buttons. On the left, a sidebar lists various categories, with 'Leadership and Oversight' selected. The main content area displays six questions, each with a plus sign icon and a dropdown menu for the answer:

- 11 Organisational structure**: There is an organisational structure for managing data protection and information governance, which provides strong leadership and oversight, clear reporting lines and responsibilities, and effective information flows.
- 12 Whether to appoint a data protection officer (DPO)**: If it is necessary to appoint a DPO under Article 37 of the GDPR, your organisation makes sure that the DPO's role is adequately supported and covers all the requirements and responsibilities.
- 13 Appropriate reporting**: The DPO is independent and unbiased. They must report to the highest management level and staff must be clear about how to contact them.
- 14 Operational roles**: Your organisation's operational roles support the practical implementation of data protection and information governance.
- 15 Oversight groups**: An oversight group provides direction and guidance across your organisation for data protection and information governance activities.
- 16 Operational group meetings**: In your organisation, operational level groups meet to discuss and coordinate data protection and information governance activities.

**Note:** When a DP Staff user answers any of the questions within the sections shown in the previous screen shot, those answers will be visible to each DP Staff user. DP Staff users will be able to either answer or edit an existing answer if the question section has not been saved as complete.

## Personal Questions

### Personal Questions

The School Personal Questions are expected to be answered by each user within the GDPRiS portal as these questions are designed to show what your users do and do not know regarding data protection and your school's processes and procedures.

To start answering your Internal Audit questions, click on **Audits** in the navigation menu on the left-hand side of the page and choose **Internal Audit**.

Select the **Personal Questions** from the available audits in the drop-down box.

The screenshot displays the 'Internal Audit' interface. At the top, there is a 'Select Type' dropdown menu set to 'Personal Questions'. To the right are two buttons: 'Save Progress' and 'Complete and Lock'. On the left side, there is a sidebar with a button labeled 'Staff Data Protection Audit'. The main content area shows a question: '1 Are you confident you are able to keep your logins secure?'. Below the question is a sub-question: '1.1 Do all your passwords contain 10 or more characters and that can't be guessed?'. A dropdown menu is open for this question, showing options: 'Yes', 'No', 'Partly', 'Yes' (highlighted), and 'Not applicable (NA)'. Below the question is a 'Hint' box with text: 'If your passwords can be guessed, they are weak. A good idea is to use "pass phrases", short sentences with punctuation - ar... in. If you use dictionary words, use 4 or more of them. Better still, use a password manager and let it create the passwords fo... sequences of random characters. These are very secure indeed.' Below the hint is a 'Comments' text area containing the text: 'The school has a password policy which I follow'. At the bottom, there is another question: '1.2 Do you know that you must not share your passwords with others?' with a 'Yes' dropdown menu.



## Answering Questions

### Personal Questions

All the questions follow the same format. See this example.

There is a question, a multiple-choice answer selection, sub questions and a free text box available, when you click on the question, where you can add to your answer.

The screenshot shows the 'Internal Audit' interface. At the top, there is a 'Select Type' dropdown menu set to 'Personal Questions'. To the right are 'Save Progress' and 'Complete and Lock' buttons. The main content area displays a question: '1 Are you confident you are able to keep your logins secure?'. Below this is a sub-question: '1.1 Do all your passwords contain 10 or more characters and that can't be guessed?'. A dropdown menu for the sub-question is open, showing options: 'Yes', 'No', 'Partly', 'Yes', and 'Not applicable (NA)'. Below the sub-question is a 'Hint' box and a 'Comments' text area containing the text 'The school has a password policy which I follow'. At the bottom, there is another sub-question: '1.2 Do you know that you must not share your passwords with others?'.

Use **Save Progress** if you need to leave the page or continue later.

Once you have completed this section **Complete and Lock**

**Note:** Once you have clicked **Complete and Lock**, you will not be able to either add to or amend your existing answers.

## Organisation Questions

GDPRiS holds the ICO's Accountability Framework as a set of questions that organisations can use to measure their compliance to the ICO's expectations for their data protection regime.

The way schools do this in GDPRiS, is to set up an Organisation Audit.

Any DP Staff can access and respond to questions. The latest set of responses will always be the one that gets reported on in dashboards and reports.

The questions and the sub-headings in the expanded view follow the ICO Accountability Framework as you can see here:

### [ICO Accountability Framework](#)

If you are not too familiar with accountability you can complete the top-level questions which will automatically populate the answers in expanded view. This is sufficient at this point and shows that you are looking at accountability.

Once you are more familiar with the ICO's expectations for your data protection, and run another audit, you can complete the sub-headings and the multiple-choice answers can be set individually.

All the questions follow the same format. See this example.

There is a question, a hint, a multiple-choice answer selection, when you click on the question you will see sub sections and if you click on **More details** you can add to your answer.

The screenshot shows the 'Internal Audit' interface. At the top, there's a 'Select Type' dropdown set to 'School Organisation Questions' and two buttons: 'Save Progress' and 'Complete and Lock'. A sidebar on the left lists categories under 'Leadership and Oversight', including 'Policies and Procedures', 'Training & Awareness', 'Individuals' Rights', 'Transparency', 'Records of Processing and Lawful Basis', 'Contracts and Data Sharing', 'Risks and Data Protection Impact Assessments', 'Records Management and Security', and 'Breach Response and Monitoring'. The main content area displays a question under the heading '11 Organisational structure'. The question text is: 'There is an organisational structure for managing data protection and information governance, which provides strong leadership and oversight, clear reporting lines and responsibilities, and effective information flows.' Below this is a yellow-highlighted hint: 'Hint: To meet this expectation you will need a Data Protection Policy which assigns responsibility to key individuals and to leadership protection in the culture of the organisation.' The question itself is: '11.1 The board, or highest senior management level, has overall responsibility for data protection and information governance.' To the right of the question is a dropdown menu with options: 'Not Started', 'Partly', 'Achieved', 'Achieved Evidenced', and 'Not applicable'. Below the question is a 'More details' section with a 'Target Date' field, a 'Staff assigned' dropdown, an 'Actions' text area, and a 'Comments' text area. Below this are two more questions, 11.2 and 11.3, each with a 'More details' link and a dropdown menu.

Use **Save Progress** if you need to leave the page or continue later.

Once you have completed this section **Complete and Lock**

**Note:** Once you have clicked **Complete and Lock**, you will not be able to either add to or amend your existing answers.

The responses that can be given to each question are as follows:

Not Started  
Partly  
Achieved  
Achieved Evidenced  
Not applicable

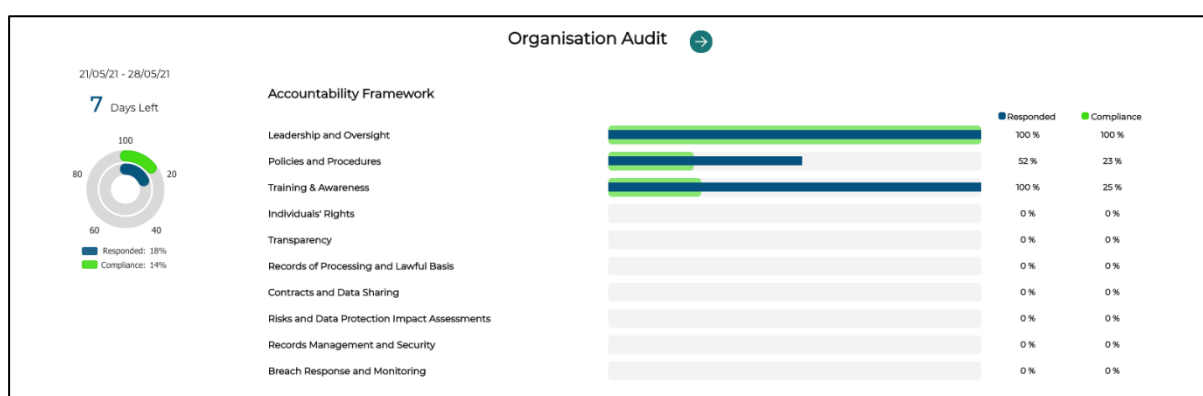
Each of these responses count in different ways towards the overall compliance result:

- Not started – this counts as 0%, as does a non-response
- Partly – this counts as 20%
- Achieved – this counts as 80%
- Achieved Evidenced – this counts as 100%
- Not applicable – the question is taken out of the calculation completely. It does not count towards the compliance rating.

**\*You will see the compliance percentages on your organisation dashboard on the Organisation Audit Tile\***

The Screenshot below shows.

- **Leadership & Oversight** – 100% of all questions were answered, and all as **Achieved Evidenced** (100%)
- **Training & Awareness** – 100% of all questions were answered, but not many scored more than a **Partly**.
- **Policies & Procedure** – just over half of the questions were answered. But because the compliance bar is lagging well behind the completed bar, we can tell that the responses tended to be less than **Achieved**.

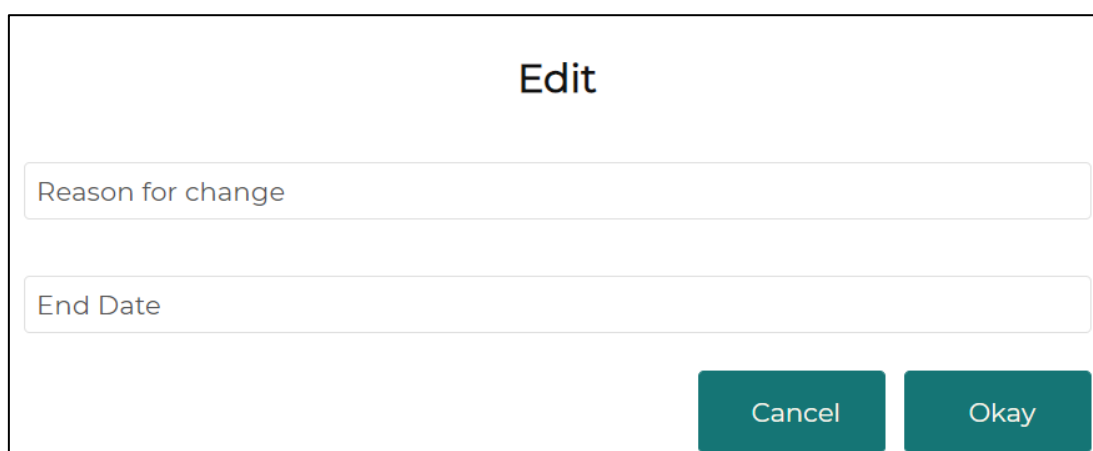


## Edit Internal Audit

When you started your Internal Audit section you had to put in an **End date**. If you have passed your end date but you are still to complete some part of your audit, you have the option to extend your current audit.

In the **Internal Audit Settings** section, click on  next to the relevant section.

A popup window will appear where you can see the options to select a new end date. Type in a reason why you are extending the audit period as this goes towards the history of the audit.



The image shows a screenshot of a modal window titled "Edit". The window contains two text input fields. The first field is labeled "Reason for change" and the second field is labeled "End Date". At the bottom right of the window, there are two buttons: "Cancel" and "Okay".

**Note:** The audit period can only be extended as far as 3 months from its original start date.

Once you have made your changes, click "**Okay**" to save.

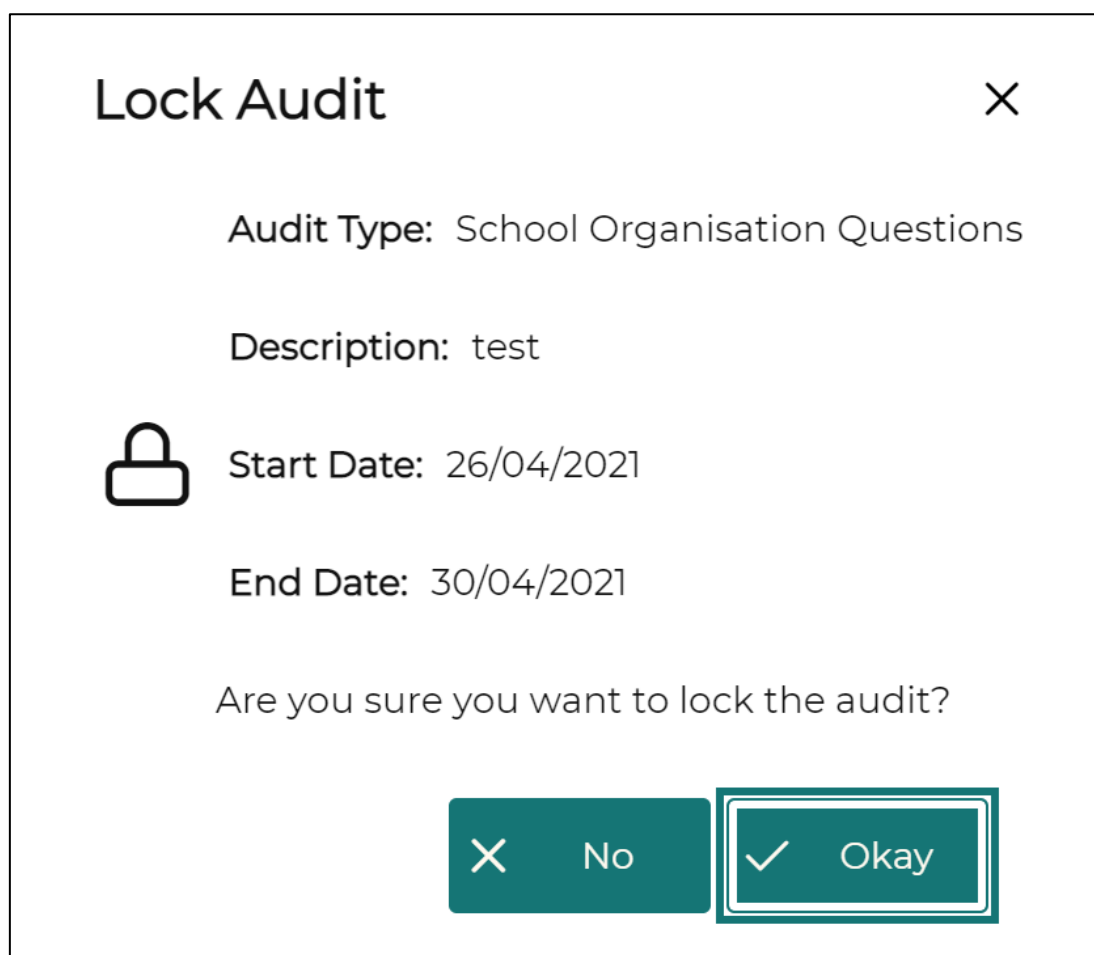
## Lock Internal Audit

If you are confident that all of the relevant sections have been completed as part of the audit you have run through, you can **lock** the audit so that no more changes can be made.

Click on  next to the relevant audit section in the **Internal Audit Settings** section.


A popup window will appear.

If you are sure that you want to lock the audit section, click **Okay**, if not, click **Cancel** and go back and review all parts of the audit to make sure all relevant sections are complete.



## Close Internal Audit

When an audit section has been locked, the next stage of the process is to close it.

Click on the  next to the relevant audit section in the **Internal Audit Settings** section.

A popup window will appear where you can select when you will want to run through the same audit section again and where you can add some notes to closing the audit.

Once you are happy with your changes, click **Close**.

### Close

▼

Cancel
Close

## Internal Audit History

Click on **Internal Audit History** via the **Audits** area on the navigation pane to see the information on current and historical audits.

Internal Audit History					
					Q Search...
Id	Description	Audit Type	Status	Start Date	End Date
6511	Spring Term DP Staff	School Organisation Questions	Closed	28/04/2021	28/04/2021
6512	Spring Term All Staff	School Personal Questions	In Progress	28/04/2021	29/04/2021

## Reports

The Reports section is where you can track which users have started their Internal Audit as well as review answers to questions which your staff have answered. By reviewing these reports, you will be able to see where your areas are for improvement.

Please review the following reports for results from the Internal Audit:

**Users and Staff Reviews**  
**Staff Data Protection Self-Assessment**  
**All SAQ Responses**

## Contact the Customer Success Team

### Office hours

**Mon-Thurs:** 09:00 - 16:30 GMT

**Fri:** 09:00 – 15:30 GMT

If you require assistance regarding any section of this help guide, please do not hesitate to contact us via one of the following methods:

**Tel:** 02039 610 110

**Mail:** [support@gdpris.co.uk](mailto:support@gdpris.co.uk)