

IC	E: Adequacy Audit Checklists			Page	2
Organisation		Department		Date	
Aspect	E.2 The Eight Data Protection Principles	Auditor		Audit ref:	
Data Protection Issue		Document reference(s)	Comments		Result
E.2.1 The First Principle					
a) Categories of Personal Data					
b) Schedule 2 - Grounds for Legitimate Processing of Personal Data					
c) Schedule 3 - Grounds for Legitimate Processing of Sensitive Personal Data					
d) Obtaining personal data					
e) Lawful Processing					
f) Fair Processing					
g) Exemptions from the First Data Protection Principle					
E.2.2 The Second Principle					
a) Uses of Personal Data within the organisation					
KEY: ✓ = Issue addressed adequately ? = Issue not addressed adequately ✕ = No reference found to issue in documentation					

IC	E: Adequacy Audit Checklists			Page	3
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Aspect	E.2 The Eight Data Protection Principles	Auditor		Audit ref:	
Data Protection Issue		Document reference(s)	Comments		Result
E.2.2 The Second Principle (continued)					
b) Use of Existing Personal Data for new purposes					
c) Disclosures of Data					
E.2.3 The Third Principle					
a) Adequacy and relevance of Personal Data					
E.2.4 The Fourth Principle					
a) Accuracy of Personal Data					
b) Keeping Personal Data up-to-date					
E.2.5 The Fifth Principle					
a) Retention Policy					
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IC	E: Adequacy Audit Checklists			Page	4
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E.2.5 The Fifth Principle (continued)					
b) Review and deletion of Personal Data					
E.2.6 The Sixth Principle					
a) Subject access					
b) Appropriate withholding of personal data in response to a subject access request					
c) Processing that may cause Damage or Distress					
d) Dealing with Notices served by individuals					
e) Automated Decision Taking					
f) Rectification, blocking, erasure and destruction					
g) Staff awareness					
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IC	E: Adequacy Audit Checklists			Page	5
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Data Protection Issue		Document reference(s)	Comments		Result
E.2.7 The Seventh Principle					
a) Security policy					
b) Unauthorised or unlawful processing of data					
c) Ensuring reliability of Staff					
d) Destruction of Personal Data					
e) Contingency Planning - Accidental loss, destruction, damage to personal data					
E.2.8 The Eighth Principle					
a) Adequate Levels of Protection					
b) Exempt transfers					
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