

***Template***

**CHECKLIST BEFORE ENGAGEMENT**

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# INTRODUCTION

FPT Software Company, Ltd. ("FPT Software" hereinafter) Corporate Data Protection Policy, guidelines, procedures, and templates lay out strict requirements for processing personal data pertaining to customers, business partners, employees or any other individual. It meets the requirements of the European Data Protection Regulation/Directive as well as other national Data Protection Regulations and ensures compliance with the principles of national and international data protection laws in force all over the world. The policy, guidelines and templates set a globally applicable data protection and security standard for FPT Software and regulates the sharing of information between FPT Software, subsidiaries, and legal entities. FPT Software have established guiding data protection principles – among them transparency, data economy and data security – as FPT Software guidelines.

## Purpose

The FPT Software Personal Data Handbook including the Protection Policy, Policy\_Personal Data Protection Management\_v3.3 applies worldwide to FPT Software, Subsidiaries as well legal entities and is based on globally accepted, basic principles on data protection. Ensuring data protection is the foundation of trustworthy business relationships and the reputation of the FPT Software as a first-class employer.

This template should support account and delivery teams before engagement to check the compliance of the planned processing with GDPR or other national/international laws/regulations. In case of any doubts AM, DM or SDM must contact the GDPO.

## Application Scope

See Policy\_PIMS Scope\_v1.2.

## Application of national Laws

The Data Protection Policy, guidelines and templates comprises the internationally accepted data privacy principles without replacing the existing national laws. It supplements the national data privacy laws. The relevant national law will take precedence in the event that it conflicts with the Data Protection Policy and guidelines, or it has stricter requirements than this Policy and guidelines. The content of the Data Protection Policy and guidelines must also be observed in the absence of corresponding national legislation. The reporting requirements for data processing under national laws must be observed.

Each subsidiary or legal entity of FPT Software is responsible for compliance with the Data Protection Policy, this guideline, and the legal obligations. If there is reason to believe that legal obligations contradict the duties under the Data Protection Policy or the guidelines, the relevant subsidiary or legal entity must inform the Global Data Protection Officer. In the event of conflicts between national legislation, the Data Protection Policy, and this guideline, FPT Software GDPO will work with the relevant subsidiary or legal entity of FPT Software to find a practical solution that meets the purpose of the Data Protection Policy, guidelines, procedures and templates.

## Responsibility

The Global Data Protection Officer, appointed by the FPT Software Board Member responsible for Data Protection in behalf of the CEO of FPT Software is fully responsible.

The Global Data Protection Officer (GDPO) is an enterprise security leadership role required by the General Data Protection Regulation (GDPR). The GDPO is responsible for overseeing data protection strategy and implementation to ensure compliance with GDPR requirements and other Personal Data Protection Acts. The primary role of the GDPO is to ensure that organization processes, the personal data of employees, customers, providers, or any other individuals in compliance with the applicable data protection rules. GDPO should be able to perform the duties independently.

The Global Data will support deal and delivery teams regarding all questions about Personal Data Protection.



More details in Guideline\_Personal Data Protection Organization\_V3.2.

# GUIDELINE CONTENT

***2.1 Checklist***

1. Role and Responsibility

|  |  |  |
| --- | --- | --- |
| 1.1 | Is FPT Software acting as a data controller? |  |
| 1.2 | Is FPT Software acting as a data processor? |  |
| 1.3 | Is FPT Software processing personal data on behalf of a customer (data controller)? |  |
| 1.4 | Is FPT Software processing personal data on behalf of processor as a sub-processor? |  |

2. Scope of work

|  |  |  |
| --- | --- | --- |
| 2.1 | Verify the scope of work defines in contract, WO and all other supporting documents. |  |
| 2.2 | Verify the detail activity of personal data processing. |  |
| 2.3 | Check the detailed instructions of the data controller. Ensure that FPT Software can comply with these requirements. What measures must be taken? |  |

3.1 Data Processing Behavior

|  |  |  |
| --- | --- | --- |
| 3.1 | Is there a Workflow for the business process in place? |  |
| 3.2 | If yes, please mark the activity (C/P/U) in each step. |  |
| 3.3 | If not, please develop the detailed workflow (data flow map, data inventory). |  |
| 3.4 | If there is data Inventory in place, please map the inventory details with the workflow. |  |
| 3.5 | Check if based of the legal requirements a DPIA necessary. If yes, involve the GDPO. |  |

4. Data Minimization

|  |  |  |
| --- | --- | --- |
| 4.1 | Verify each item of the personal data if it is a MUST for the described purpose of the processing (list all the items, types of personal data. If a database system is used cross check the detailed table field by field). |  |
| 4.2 | Verify each item of the personal data if it is only Nice to have for the described purpose of the processing (list all the items, types of personal data. If a database system is used cross check the detailed table field by field). |  |
| 4.3 | Involve the GDPO to develop an approach for data minimization.  |  |

5. Lawfulness

|  |  |  |
| --- | --- | --- |
| 5.1 | Verify the lawfulness condition for data collection (by each process/phase/function). |  |
| 5.2 | If the lawfulness is by consent, verify the contents required by GDPR or other national/international laws/regulations. |  |
| 5.3 | If the lawfulness is by legitimate Interest, please process the legitimate Interest Analysis with the support of GDPO. |  |

6. International transfer

|  |  |  |
| --- | --- | --- |
| 6.1 | Verify if the collected data are transferred to country with do not have an adequate level of data protection based on GDPR or other national/international laws/regulations. |  |
| 6.2 | Final destination of the data transferred? |  |
| 6.3 | What Appropriate Safeguards are chosen |  |
| 6.3 | Is a SCC in place? |  |
| 6.4 | Is a TIA in place? |  |
| 6.5 | Is a BCR in place? |  |
| 6.6 | Is a certification in place like ISO27701, P-Mark, HITRUST, HIPAA, TISAX? |  |

7. Security *(relates to technical measures, System Analysis and Design Analysis documents, how to protect the data security within the processing and transfer)*

|  |  |  |
| --- | --- | --- |
| 7.1 | Application Security |  |
| 7.2 | Storage Security |  |
| 7.3 | Authorization |  |
| 7.4 | Technology Usage |  |

8. Policies *(verify if the content complies with GDPR or other national/international laws/regulations requirements)*

|  |  |  |
| --- | --- | --- |
| 8.1 | Data Protection Policy |  |
| 8.2 | Data Protection Guidelines |  |
| 8.3 | Privacy Policy |  |
| 8.4 | Term of use |  |

If there are any doubts, involve the GDPO.

9. Training

|  |  |  |
| --- | --- | --- |
| 9.1 | Did the planned resources (project) join the personal data protection training and exam? |  |
| 9.2 | Did the AM, DM, SDM, PM join the extended personal data protection training and exam? |  |
| 9.3 | Is every involved person able to use QMS? |  |

Date:

PIC:

# APPENDIXES

## Definition

| **Abbreviations** | **Description** |
| --- | --- |
| PII, Personal Identifiable Information,Personal Data | Refer to the personal data defined by the EU GDPR (Article 4 (1)),‘personal data’ means any information relating to an identified or identifiable natural person (‘data subject’); an identifiable natural person is one who can be identified, directly or indirectly, in particular by reference to an identifier such as a name, an identification number, location data, an online identifier or to one or more factors specific to the physical, physiological, genetic, mental, economic, cultural or social identity of that natural person. |
| Data Subject | EU GDPR (Article 4 - 1),Data subject refers to any individual person who can be identified, directly or indirectly. |
| Data Controller | EU GDPR (Article 4 - 7),Data Controller means the natural or legal person, public authority, agency or anybody which alone or jointly with others, determines the purpose and means of processing of personal data; where the purpose and means of such processing are determined by Union or Member State law, the controller or the specific criteria for its nomination may be provided for by Union or Member State law. |
| Data Processor | EU GDPR (Article 4 - 8),Data Processor means a natural or legal person, public authority, agency or anybody which processes data on behalf of the controller. |
| Recipient  | EU GDPR (Article 4 - 9),A natural or legal person, public authority, agency or anybody, to which the personal data are disclosed, whether third party or not. |
| Third Party | EU GDPR (Article 4 - 10),A natural or legal person, public authority, agency or anybody other than the data subject, controller, processor and persons who under direct authority of controller or processor, are authorized to process personal data |
| DPO/GDPO | Data Protection Officer/Global Data Protection Officer |
| DPIA | Data Protection Impacted Assessment |
| PIMS | Personal Information Management System |
| EU | European Union |

## Related Documents

| **No** | **Code** | **Name of documents** |
| --- | --- | --- |
| 1 | EU GDPR | EU General Data Protection Regulation |
| 2 | 95/46/EC | EU Data Protection Directive 95/46/EC |
| 3 | Privacy shield | EU-U.S. and Swiss-U.S. Privacy Shield Frameworks designed by the U.S. Department of Commerce and the European Commission and Swiss Administration to provide companies on both sides of the Atlantic with a mechanism to comply with data protection requirements when transferring personal data from the European Union and Switzerland to the United States in support of transatlantic commerce. |
| 4 | APPI | Act on the Protection of Personal Information, Japan.It came into force on 30 May 2017.   |
| 5 | PDPA | Personal Data Protection Act 2012, Singapore |
| 6 | PDPO | Personal Data (Privacy) Ordinance, Hongkong, 2012 |
| 7 | PIPA | South Korea’s substantial Personal Information Protection Act (PIPA) was enacted on Sept. 30, 2011 |
| 8 | PIPEDA | Personal Information Protection and Electronic Documents Act, Canada 2018 |
| 9 | Privacy Act, APPs, CDR | Privacy act Australia including Australian Privacy Principles, Consumer Data Right |
| 10 | HITRUST | Health Information Trust Alliance (CSF, Common Security Framework) |
| 11 | HIPAA | Health Insurance Portability and Accountability Act of 1996 (HIPAA), US |
| 12 | PCI DSS | Payment Card Industry Data Security Standard, May 2018 |
| 13 | CCPA | California Consumer Privacy Act of 2018, Cal. Civ. Code §§ 1798.100 et seq. |
| 14 | PDPL, UAR  | Decree-Law No. 45 of 2021 |
| 15 | DPA Philippines | Republic Act 10173, Data privacy Act 2012 |
| 16 | PIPL | Personal Information Protection Law of the People’s Republic of China and related laws and regulations |
| 17 | PDPA Malaysia  | Personal Data Protection Act 2010, Malaysia |
| 18 | TISAX | Trusted information security assessment exchange |
| 19 | BS10012: 2017 | British Standard Personal Information Management System  |
| 20 |  | Vietnamese laws on Privacy:- Article 21 of the 2013 Constitution- Article 38 of the Civil Code 2015- Article 125 of the Penal Code- Clause 2 of Article 19 of the Labor CodeDecree of the Vietnamese Government: Nghị Định Quy Định Về Bảo Vệ Dữ Liệu Cá Nhân Still not in force |
| 21 | FPT Software Personal Data Protection Handbook | PDP\_ Handbook\_Version\_V3.3 |

## 3.3 Data Protection Law, Vietnam, Overview

There is no single data protection law in Vietnam. Regulations on data protection and privacy can be found in various legal instruments. The right of privacy and right of reputation, dignity and honour and fundamental principles of such rights are currently provided for in Constitution 2013 (“**Constitution**”) and Civil Code 2015 (“**Civil Code**”) as inviolable and protected by law.

Regarding personal data, the guiding principles on collection, storage, use, process, disclosure or transfer of personal information are specified in the following main laws and documents:

* **Criminal Code** No. 100/2015/QH13, passed by the National Assembly on 27 November 2015
* Law No. 24/2018/QH14 on Cybersecurity, passed by the National Assembly on 12 June 2018 (“**Cybersecurity Law**”);
* Law No. 86/2015/QH13 on Network Information Security, passed by the National Assembly on 19 November 2015; as amended by Law No. 35/2018/QH14 dated 20 November 2018, on amendments to some articles concerning planning of 37 Laws (“**Network Information Security Law**”);
* Law No. 59/2010/QH12 on Protection of Consumers’ Rights, passed by the National Assembly on 17 November 2010; as amended by Law No.35/2018/QH14 dated 20 November 2018, on amendments to some articles concerning planning of 37 Laws (“**CRPL**”);
* Law No. 67/2006/QH11 on Information Technology, passed by the National Assembly on 29 June 2006; as amended by Law No. 21/2017/QH14 dated 14 November 2017 on planning (“**IT Law**”);
* Law No. 51/2005/QH11 on E-transactions, passed by the National Assembly on 29 November 2005 (“**E-transactions Law**”);
* Decree No. 85/2016/ND-CP dated 1 July 2016, on the security of information systems by classification (“**Decree 85**”);
* Decree No. 72/2013/ND-CP dated 15 July 2013 of the Government, on management, provision and use of Internet services and online information as amended by Decree No. 27/2018/ND-CP dated 1 March 2018 and Decree No.150/2018/ND-CP dated 7 November 2018 (“**Decree 72**”);
* Decree No. 52/2013/ND-CP dated 16 May 2013 of the Government; as amended by Decree No. 08/2018/ND-CP dated 15 January 2018, on amendments to certain Decrees related to business conditions under state management of the Ministry of Industry and Trade and Decree No. 85/2021/ND-CP dated 25 September 2021 (“**Decree 52**”);
* Decree No. 15/2020/ND-CP of the Government dated 3 February 2020 on penalties for administrative violations against regulations on postal services, telecommunications, radio frequencies, information technology and electronic transactions (“**Decree 15**”);
* Circular No. 03/2017/TT-BTTTT of the Ministry of Information and Communications dated 24 April 2017 on guidelines for Decree 85 (“**Circular 03**”);
* Circular No. 20/2017/TT-BTTTT dated 12 September 2017 of the Ministry of Information and Communications, providing for Regulations on coordinating and responding to information security incidents nationwide (“**Circular 20**”);
* Circular No. 38/2016/TT-BTTTT dated 26 December 2016 of the Ministry of Information and Communications, detailing cross-border provision of public information (“**Circular 38**”);
* Circular No. 24/2015/TT-BTTTT dated 18 August 2015 of the Ministry of Information and Communications, providing for the management and use of Internet resources, as amended by Circular No. 06/2019/TT-BTTTT dated 19 July 2019 (“**Circular 25**”); and
* Decision No. 05/2017/QD-TTg of the Prime Minister dated 16 March 2017 on emergency response plans to ensure national cyber-information security (“**Decision 05**”).

Applicability of the legal documents will depend on the factual context of each case, e.g businesses in the banking and finance, education, healthcare sectors may be subject to specialized data protection regulations, not to mention to regulations on employees’ personal information as provided in Labour Code 2019 (“**Labour Code**”).

The most important Vietnamese legal documents regulating data protection are the Cybersecurity Law and Network Information Security Law. Cybersecurity laws in other jurisdictions that were inspired by the GDPR of the EU, the Cybersecurity Law of Vietnam shares similarities with China’s Cybersecurity Law enacted in 2017. The law focuses on providing the government with the ability to control the flow of information. The Network Information Security Law enforces data privacy rights for individual data subjects.

A draft Decree detailing a number of articles of the Cybersecurity Law (“**Draft Cybersecurity Decree**”), notably including implementation guidelines for data localization requirements, together with a draft Decree detailing the order of and procedures for application of a number of cybersecurity assurance measures and a draft Decision of the Prime Minister promulgating a List of information systems important for national security, are being prepared by the Ministry of Public Security (“**MPS**”) in coordination with other relevant ministries, ministerial-level agencies and bodies.

MPS has drafted a Decree on personal data protection (“**Draft PDPD**”), which is contemplated to consolidate all data protection laws and regulations into one comprehensive data protection law as well as make significant additions and improvements to the existing regulations. The Draft PDPD was released for public comments in February 2021 and was originally scheduled to take effect by December 2021. The Finalization process consuming much more time than the MPS first anticipated. The Draft PDPD might be finalized and coming in force end of 2022.

***3.4 Example PII:***

