

TaylorWessing

Standardvertragsklauseln

Praxistest, Regulierungsbehörden & Transfer Impact Assessment (TIA) Tool

24. März 2022 | Mona Wrobel, Dr. Paul Voigt, Dr. Axel von dem Bussche

Einführung

- Juli 2020: Entscheidung über **Schrems II**
- November 2020: **EPDB-Empfehlung**
- Juni 2021: **Neue SCC**
- **Schlüsselkomponente der neuen SCC:** Transfer Impact Assessment (TIA) (Paul)
- Was geschah bisher in Bezug auf Behörden und welche **Auswirkungen gibt es in der täglichen Praxis?** (Axel)

Behörden und Auswirkungen auf die Datenpraxis I

Aktivitäten des Datenschutzbeauftragten

- "heiße Kartoffel" - Phänomen
- Behörden: "springen wie ein Tiger und landen wie ein Bettvorleger"?
- **Nach dem Urteil Juli 2020:** Betroffene, Mitarbeiter, Aktivisten - Whistleblowing-Aktivitäten (reaktiv)
- **September 2020:** informelle Ermittlungen (pro-aktiv)
- **Juni 2021:** förmliche Ermittlungen (pro-aktiv) Niedersachsen, Baden-Württemberg, Bayern, Berlin, Bremen, Brandenburg, Hamburg, Rheinland-Pfalz und Saarland
- **Fazit:** "Wir wollen sehen, was Sie für die Einhaltung der Vorschriften getan haben (obwohl wir wissen, dass dies eine unmögliche Aufgabe ist)".

Behörden und Auswirkungen auf die Datenpraxis II

Schlüsselfrage: Wann wird die DSGVO umgesetzt und wann treffen Überwachungsgesetze von Drittstaaten aufeinander?

- **Januar 2022:** DSK-Gutachten zum aktuellen Stand des US-Überwachungsrechts und der Überwachungsbehörden von Prof. Stephen I. Vladeck
- **Januar 2022:** EDPB: Staatlicher Zugriff auf Daten in Drittstaaten: China, Russland, Indien
- **Dezember 2021:** VG Wiesbaden: Übertragung an US-Cloud-Anbieter kollidiert mit US-Überwachungsgesetzen

Ausblick

- **2022:** Mehr Durchsetzungsmaßnahmen, keine Ausreden für Nichtstun. Schaffen Sie eine vertretbare Position
- **27. Dezember 2022:** Frist für SCC-Ablösung läuft ab - mögliche Eskalation auf anderer Ebene

Behörden und Auswirkungen auf die Datenpraxis III

Taylor Wessing, Video	Schrems II / Daten-übermittlung an Drittländer	Tech & Law TV #19 – Ausblick 2022 aus Sicht der Datenschutzbehörden	https://www.taylorwessing.com/de/insights-and-events/insights/2022/01/tech-and-law-tv-19-2022-aus-sicht-der-datenschutzbehoerden
DSK (Deutsche Aufsichtsbehörden)	Schrems II / Daten-übermittlung an Drittländer	Gutachten von Prof. Stephen I. Vladeck über den aktuellen Stand des US-Überwachungsrechts und der Überwachungsbehörden	https://www.datenschutzkonferenz-online.de/media/weitere_dokumente/Vladek_Rechtsgutachten_DSK_en.pdf
EDPB (Europäischer Datenschutz-ausschuss)	Schrems II / Daten-übermittlung an Drittländer	Zugang der Regierung zu Daten in Drittländern: China, Russland, Indien	https://edpb.europa.eu/system/files/2022-01/legalstudy_on_government_access_0.pdf

EDPB-Empfehlungen



Empfehlungen für zusätzliche Maßnahmen

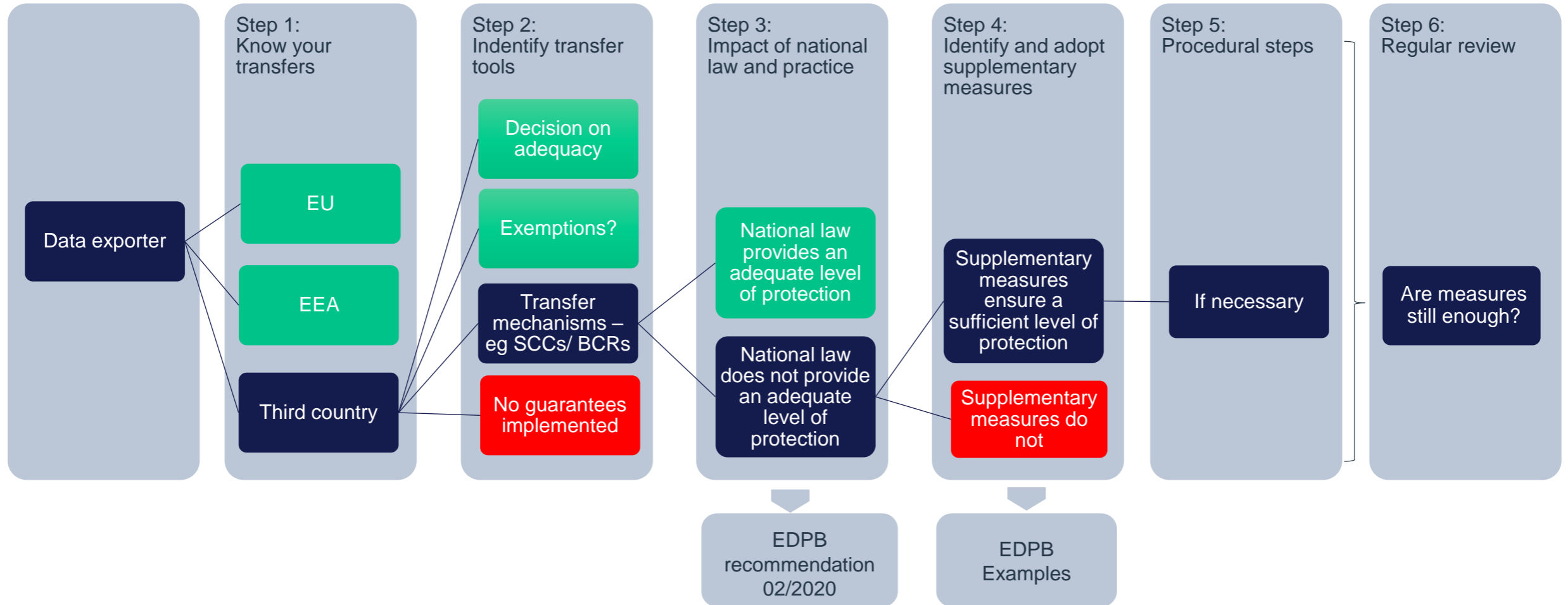
- Verbindlich für Datenschutzbehörden
- 6-Stufen-Plan zur Ermittlung und Bewertung von Datenübermittlungen
- Beispiele für zusätzliche Maßnahmen



Empfehlungen zu EU-Garantien für Überwachungsmaßnahmen

- Anleitung zur Überprüfung des nationalen Rechts anhand von vier zentralen Garantien auf EU-Ebene

Stufenplan nach dem EDPB




Vereinfachen Sie Ihre Transfer Impact Assessments – das Taylor Wessing TIA Tool



Nach den neuen EU-Standardvertragsklauseln für Datenübermittlungen in Drittländer sind Datenimporteure verpflichtet, ihre Datenübermittlungen in Nicht-EU/EAA-Länder zu überprüfen und nach dem Schrems-II-Urteil des Gerichtshofs der Europäischen Union sogenannte Transfer-Folgenabschätzungen (TIA) durchzuführen.

Das Taylor Wessing Legal Tech TIA Tool "TInA" hilft Ihnen, alle Prozesse im Zusammenhang mit TIAs zu vereinfachen ([Link](#)).

- Das TIA-Tool sendet automatisch Fragebögen (TIA Requests) an eine beliebige Anzahl von Anbietern. Alles, was Sie tun müssen, ist, die Kontaktdaten der Anbieter einzugeben, und das Tool kümmert sich um (fast) alles andere.
- Wenn die Lieferanten nicht antworten, erhalten sie automatisch eine Erinnerung.
- Sie können auch die Unterlieferanten Ihrer Lieferanten überprüfen.



The screenshot shows a dashboard with a pie chart and a table of results. The pie chart is divided into four segments: red (High risk), yellow (Medium risk), green (Low risk), and white (Completed). The table below the chart shows the following data:

Risk Category	Count
Completed	7
High risk (red)	3
Medium risk (yellow)	3
Low risk (green)	1

Below the table, there is a search bar with a magnifying glass icon and a 'Search' button. The table below the search bar has columns for Date, Vendor, Duration, and Result. The first row shows '14. January 2022', 'Hallo GmbH', '0 Days', and a yellow dot in the Result column.

- ✓ Automatisieren Sie Ihre TIA-bezogenen Verfahren vollständig
- ✓ Alles an einem Ort: Behalten Sie den Überblick
- ✓ Leichte Kommunikation mit Ihren Anbietern
- ✓ Automatische Auswertung und klare Ergebnisse
- ✓ Vollständige Kontrolle

Question 1 (2 % Complete)

Do you process personal data (e.g. name, address, IP address, usage data, payment data, etc.) in connection with/based on a contract with us?

Yes

No

Back

Next

Explanations

Personal data: Personal data means any information that can be linked to an individual (even if, e.g., not by you, but just by us). The link may be direct (e.g., name) or indirect (e.g., customer ID). Examples for personal data include:

- general personal data (name, date and age of birth, place of birth, address, e-mail address, telephone number),
- identification numbers (social security number, tax identification number, health insurance number, identity card number),
- banking data (account numbers, credit information, account balances),
- online data (IP address, location data, browser information, usage data, user ID),
- physical characteristics (gender, skin, hair and eye color, clothing size),
- customer data (orders, address data, account data, etc.),
- value judgments (evaluations, job references).

This also includes pseudonymized data.

Pseudonymization : Pseudonymization is the replacement of identification features for the purpose of making it significantly more difficult to identify the data subject. This includes for example replacing the name of a user with a UserID so that third parties without the respective key are unable to identify the respective individual. Pseudonymized data is still personal data.

Processing: Processing means any use of the personal data, including collecting, analyzing, sharing, storing, transferring, deleting, and accessing the data (including remote access).



Question 20 (38 % Complete)

Where do you store the personal data received from us, i.e., where are your servers located?

Exclusively in countries within the EEA

Outside the EEA but exclusively in countries for which the EU Commission issued an adequacy decision

In the US

In other third countries outside the EEA

In the US and in other countries outside the EEA

Back

Next

Explanations

EEA: The EEA includes all member states of the EU as well as Iceland, Liechtenstein, and Norway.

Countries with adequate protection: The European Commission has so far recognized Andorra, Argentina, Canada (commercial organizations), Faroe Islands, Guernsey, Israel, Isle of Man, Japan, Jersey, New Zealand, Switzerland, Uruguay and South Korea as providing adequate protection.

Third countries: This includes all countries that are not part of the EEA and which the EU Commission has not recognized as providing adequate protection.



Question 27 (51 % Complete)

Legal transfer mechanism: what measures have been implemented to safeguard the data transfer from us to you?

If SCCs or consent have been implemented, please upload the respective document via the Messages Dialogue (envelope icon).

* Multiple answers allowed *

EU Standard Contractual Clauses (SCC) - version as issued by the European Commission (EC) in 2021

EU Standard Contractual Clauses (SCC) - earlier version

Consent of the affected individual(s)

Binding Corporate Rules

None

Back

Next

Explanations

EU Standard Contractual Clauses: Standard agreements provided by the EU Commission that provide obligations to the data importer and data exporter for the transfer of personal data.

Please note that **Consent** must be freely, informed and specifically related to the third country transfers involved.

The possibility of appropriate guarantees by **Binding Corporate Rules** is only open to a group of companies. Binding Corporate Rules may cover data transfers by data controllers to group controllers or processors and must be approved by the competent EU data protection supervisory authorities.



Question 30 (57 % Complete)

Are you subject to the US Executive Order (EO) 12333, Section 702 of the Foreign Intelligence Surveillance Act (FISA), and/or any similar laws stipulating the disclosure of personal data to public authorities?

Yes

No

Back

Next

Explanations

Unless you are certain that you are not subject to US EO 12333 or Sec. 702 FISA, please tick "Yes".

US EO 12333 and **Sec. 702 FISA** are US regulations permitting surveillance activities of US intelligence agencies for national security purposes. In particular, **Sec. 702 FISA** permits the Attorney General and the Director of National Intelligence to authorize jointly the surveillance of non-US persons located outside the US in order to obtain 'foreign intelligence information', whereas **US EO 12333** allows the NSA to access data 'in transit' to the US, by accessing underwater cables on the floor of the Atlantic, and to collect and retain such data before arriving in the United States and being subject there to the FISA.

The scope of application and the procedure is complex in detail. However, the regulations might apply to you, inter alia, if you provide any person with, contract with or make use of a service that allows for the transfer of electronic communications, information, data, writings, or images to the US or if you provide financial products or services, travel agency services or consumer credit reports or services to the US.



Question 48 (91 % Complete)

When you process personal data received from us, do you use encryption measures that

- (i) conform to the state-of-the-art,
- (ii) can be considered robust against cryptanalysis performed by the public authorities in your country; and
- (iii) are flawlessly implemented by properly maintained software?

Yes, data encryption at rest and in transit

Yes, but data encryption at rest, only

Yes, but data encryption in transit, only

No, economically not feasible

No, technically not feasible

Back

Next

Explanations

No explanations available for this question



Check done by
p.voigt@taylorwessing.com

at

22.03.2022 - 11:03

for

Taylor Wessing Partnerschaftsgesellschaft mbB

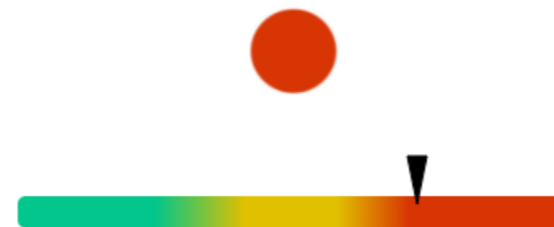
regarding the contractual relationship with

Hallo GmbH

in the case of

Webinar

Result of the automated assessment:



The automated result is based on the following answers:

Do you process personal data (e.g. name, address, IP address, usage data, payment data, etc.) in connection with/based on a contract with us?

Yes

Change answer

Send message to vendor regarding this answer

Do you process that data in your capacity as data controller (i.e., independently on your own behalf for your own purposes) or data processor (i.e., on our behalf, based on our instructions)?

Data processor

Change answer

Send message to vendor regarding this answer



Check done by

p.voigt@taylorwessing.com

at

22.03.2022 - 11:03

for

Taylor Wessing Partnerschaftsgesellschaft mbB

regarding the contractual relationship with

Hallo GmbH

in the case of

Webinar



Original automated Result:



The transfer shows medium risks. It is recommended to implement supplementary technical and/or organizational measures, e.g. further encryption, pseudonymization, data minimization, regular reports on data access requests etc. If this is not possible, alternative services from providers in the EU should be explored.

Positive aspects:

Do you share personal data received from us with other data recipients (e.g., service providers, other group companies, etc.)?

No

Legal transfer mechanism: what measures have been implemented to safeguard the data transfer from us to you?



Completed: 22

High risk (red): 4

Medium risk (yellow): 12

Low risk (green): 6

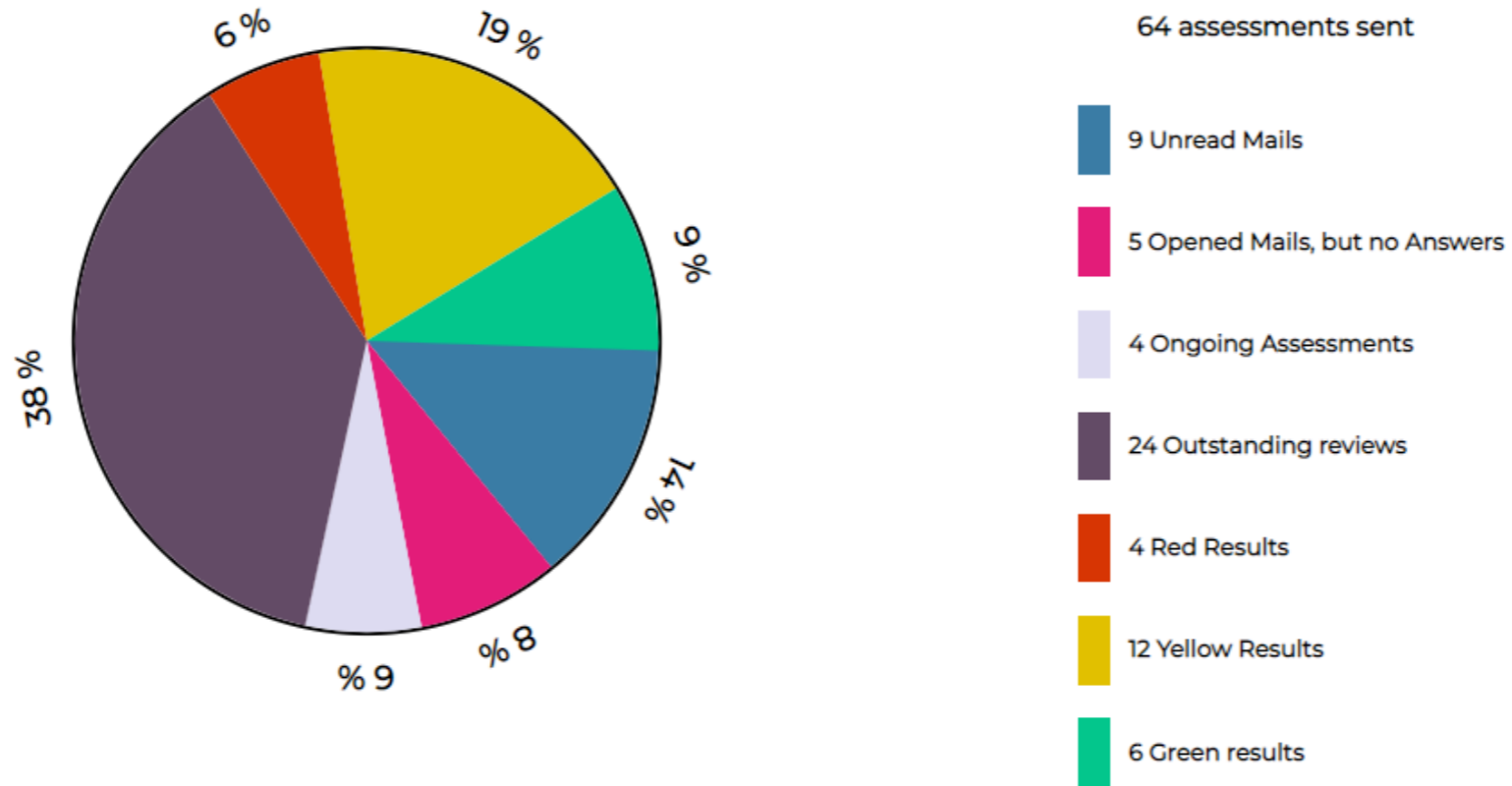
Search vendor

Reset

Search

Date	Vendor	Duration	Result
22. March 2022	Hallo GmbH - 21	0 Days	
9. March 2022	Hallo GmbH - BO	0 Days	
21. February 2022	Hallo GmbH - SPR	0 Days	
17. February 2022	Hallo GmbH - Abend	0 Days	
17. February 2022	Hallo GmbH - Thursday eve	0 Days	

Overview of the assessments:



Number of assessments sent out over time:

Number of Assessments

37.63

Messages from Vendors (5 New)

To access and respond to the messages received from your Vendors via the TIA Questionnaire, please click on "Show Vendor messages" below.

Show Vendor messages

Add Vendors and send link to TIA Questionnaire (TIA Request)

To add Vendors and manage the dispatch of TIA Requests, please click on "Add Vendor(s)" below.

Add Vendor(s)

Check status of pending TIA Requests

To check the current processing status of one or more TIA Requests you have sent, please click on "Check status of TIA Requests" below.

Check status of TIA Requests

Review the assessments received from vendors (20 New)

You can review all assessments received from vendors, finalize the assessments or follow up with questions to the vendor.

Review assessments

TIA Dashboard (Completed TIAs)

To get an overview of the completed TIA Questionnaires, please click on "TIA Dashboard" below.

TIA Dashboard

Manage Subvendors of your Vendors (1 New)

To approve Subvendors of your Vendors and manage the dispatch of TIA Requests to them, please click on "Manage Subvendors" below.

Manage Subvendors

Reporting Area

You get an overview of the amount of sent and received questionnaires.

Reporting Area

TIA Questionnaires recently completed

March 2022

- 22. March 2022
Halo GmbH - 21 ●
- 16. March 2022
Halo GmbH - Montag 2 ●
- 9. March 2022
Halo GmbH - BO ●

February 2022

- 21. February 2022
Halo GmbH - SPIR ●
- 17. February 2022
Halo GmbH - Abend ●
- 17. February 2022
Halo GmbH - Thursday eve ●
- 17. February 2022
Halo GmbH - Contract ●
- 14. February 2022
AB Corp - abc ●
- 8. February 2022
Halo GmbH - Hallo ●

January 2022

- 26. January 2022
Halo GmbH - Versuch 26.1. 16:38 ●

Was ist zu tun?

- **Kompliziertes Projekt:** Vertragsänderung und Operationalisierung – interne und externe Ressourcen und interne Kommunikation - wird ein langer Prozess sein
- **Data-Mapping** – einschließlich der Frage, welches Modul wohin passt
- **Prozess** der Transfer-Folgenabschätzung
- **Umstellung auf die neuen SCC:** alle bestehenden SCC werden durch neue SCC ersetzt
 - ab 27. September 2021: für neue Vereinbarungen nur neue SCC
 - bis 27. Dezember 2022: alle bestehenden SCC werden durch neue SCC ersetzt
- **Dokumentation** und ständige **Neubewertung** der getroffenen Maßnahmen (Klauseln 8.9, 14 (d) SCC)

Ansprechpartner



Mona Wrobel, LL.M. (Stellenbosch)

Direct +49 40 36803-164
Mobile +49 1621372423
E-Mail m.wrobel@taylorwessing.com



**Dr. Axel Freiherr von dem Bussche,
LL.M. (L.S.E.)**

Direct +49 40 36803-129
Mobile +49 16090169493
E-Mail a.bussche@taylorwessing.com



**Dr. Paul Voigt, Lic. en Derecho,
CIPP/E**

Direct +49 30 885636-408
Mobile +49 15112285011
E-Mail p.voigt@taylorwessing.com

Transfer Impact Assessment Tool (TIA tool):



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