COMPLIANCE

General Data Protection Regulation (GDPR) and Rocket MultiValue

The General Data Protection Regulation (GDPR) goes into effect on May 25, 2018 and is designed to “harmonize” data privacy laws across Europe as well as give greater protection and rights to individuals. GDPR provides for sweeping changes for the public as well as organizations that handle Personally Identifiable Information (PII). Individuals are given new powers over their data, with enhanced rights to access, rectify and erase their data as well as being able to freely request the transfer of their information to other platforms. One of the biggest changes for organizations is the accountability principle (Article 5(2)), which requires companies to implement appropriate technical and organizational measures to protect personal data and to maintain relevant documentation of all processing activities.

Full compliance with GDPR cannot be achieved solely through technical means. The scope of the regulation is broad, encompassing a number of organizational and procedural requirements in addition to technical security requirements. The Rocket MultiValue Application Platform (Rocket MV) provides you with the capabilities needed to enable you to fulfill many of these key principles, as described below. However, GDPR compliance will ultimately depend on an effective application of these capabilities throughout your product design and implementation, as well as other organizational and procedural controls to address all articles of GDPR.

Article 5: Principles relating to personal data processing

GDPR REQUIREMENTS	ROCKET MV CAPABILITIES
1.d Personal data shall be accurate and, where necessary, kept up to date; every reasonable step must be taken to ensure that personal data that are inaccurate, having regard to the purposes for which they are processed, are erased or rectified without delay (‘accuracy’).	The Rocket MultiValue Application Platform allows you to create a database structure to appropriately house data relevant to the operation at hand, as well as to create a user interface for the application that facilitates the capture, maintenance, modification, and deletion of data as necessary. Having created an appropriate database and application structure to accurately represent personal data, the UI surrounding a Rocket MV database can enforce input requirements to help ensure the accuracy of the data being written. This may include data input masks, value restrictions, and other data validation tests upon entry to reduce the risk of errors and inaccurate entries. Where data validity has been established, the continuing accuracy of that data is protected from malicious or unauthorized alteration through role-based, Active Directory-integrated access rights management. Rocket MV can enforce granular write/update access for individual users. OpenSSL-based automatic data encryption protects data in-transit, in-use, and at rest. This encryption also protects the integrity of the data being sent and received to prevent inaccuracies. Parties can be certain that they are talking to the intended party, and data has not been corrupted or maliciously altered during transmission.

Article 5: Principles relating to personal data processing (cont

GDPR REQUIREMENTS	ROCKET MV CAPABILITIES
1.f Personal data shall be processed in a manner that ensures appropriate security of the personal data, including protection against unauthorized or unlawful processing and against accidental loss, destruction or damage, using appropriate technical or organizational measures (‘integrity and confidentiality’).	Rocket MV implements both database-level access controls and user-level, role-based access controls. Retrieval locks and update locks (read and write access) can be configured granularly to support your confidentiality requirements and protect sensitive information. Access to and disclosure of information is limited only to authorized users. User authentication is performed by the operating system and passed to the database. Rocket MV supports username and password sets from Microsoft and Unix systems, as well as token-based single sign on (SSO). OpenSSL-based Automatic Data Encryption protects data in-transit, in-use, and at rest. Open source implementation of the SSL and TLS protocols allows us to send and receive encrypted information. When combined with the correct–and validated–certificate, parties can be certain that they are talking to the intended party, and data has not been maliciously changed during transmission. Rocket MV supports robust password and encryption key management solutions for Automatic Data Encryption. Policies can be defined for individual keys. Rocket MV supports the Transport Layer Security (TLS) encryption protocol through version 1.2, currently the most widely trusted standard. Delayed standby replication allows you to protect a subscriber from malicious damage caused by a compromise to the publisher. Real-time replication may introduce the same damage from the publisher to the subscriber, exposing you to a potential for data loss. Keeping the subscriber a defined interval behind the publisher (such as 6 hours) protects the business and assists in addressing “clear record” events. Rocket MV’s recoverable file system (RFS) helps maintain physical integrity of data at rest and ensure recovery from hardware failures. Audit logs can provide a secure record of any access or updates to data, whether authorized or unauthorized. Audit logging configuration is stored in an encrypted file, which can be password-protected, and is only modifiable by authorized users.

Article 5: Principles relating to personal data processing *(cont)*

GDPR REQUIREMENTS	ROCKET MV CAPABILITIES
2 The controller shall be responsible for, and be able to demonstrate compliance with, paragraph 1 ('accountability')	During an audit, you must show that your company is compliant. Audit logging can help. Customers can create reports from the audit log to answer questions which might arise, such as: • Who updated, deleted, or changed an account? • When did a specific user log in or out of an account? • Which users have access to specific data, and when did they access the data?

Article 25: Data protection by design and by default

GDPR REQUIREMENTS	ROCKET MV CAPABILITIES
1 Taking into account the state of the art, the cost of implementation and the nature, scope, context and purposes of processing as well as the risks of varying likelihood and severity for rights and freedoms of natural persons posed by the processing, the controller shall, both at the time of the determination of the means for processing and at the time of the processing itself, implement appropriate technical and organizational measures, such as pseudonymization, which are designed to implement data-protection principles, such as data minimization, in an effective manner and to integrate the necessary safeguards into the processing in order to meet the requirements of this Regulation and protect the rights of data subjects.	Data "accuracy," where validity is already established, is protected from malicious or unauthorized alteration through role-based, Active Directory-integrated access rights management. Rocket MV can enforce granular write/update access for individual users. OpenSSL-based automatic data encryption protects data in-transit, in-use, and at rest. This encryption also protects the integrity of the data being sent and received to prevent inaccuracies. Parties can be certain that they are talking to the intended party, and data has not been corrupted or maliciously altered during transmission. Rocket MV implements both database-level access controls and user-level, role-based access controls. Retrieval locks and update locks (read and write access) can be configured granularly to support your confidentiality requirements and protect sensitive information. Access to and disclosure of information is limited only to authorized users.
2 The controller shall implement appropriate technical and organizational measures for ensuring that, by default, only personal data which are necessary for each specific purpose of the processing are processed. That obligation applies to the amount of personal data collected, the extent of their processing, the period of their storage and their accessibility. In particular, such measures shall ensure that by default personal data are not made accessible without the individual's intervention to an indefinite number of natural persons.	Rocket MV implements both database-level access controls and user-level, role-based access controls. Retrieval locks and update locks (read and write access) can be configured granularly to support your confidentiality requirements and protect sensitive information. Access to and disclosure of information is limited only to authorized users.

Article 30: Records of processing activities

GDPR REQUIREMENTS	ROCKET MV CAPABILITIES
1.c Each controller and, where applicable, the controller’s representative, shall maintain a record of processing activities under its responsibility. That record shall contain a description of the categories of data subjects and of the categories of personal data.	Meta-data concerning data subjects can be stored in any product designed and produced using MV (and subsequently retrieved therefrom) through the inclusion of an appropriate data-field associated with subject’s record. Audit logging can be configured to record any updates to the meta-data associated with data subjects and can be used to generate reports.
1.g Each controller and, where applicable, the controller’s representative, shall maintain a record of processing activities under its responsibility. That record shall contain, where possible, a general description of the technical and organizational security measures.	Rocket Software provides technical security documentation surrounding its Rocket MV products that will assist in describing the technical security measures protecting your data.
3 The records referred to in paragraphs 1 and 2 shall be in writing, including in electronic form.	Audit logs produce an electronic copy of the records and processing activities required by this article. Rocket Software technical security documentation surrounding Rocket MV is available in electronic format.
4 The controller or the processor and, where applicable, the controller’s or the processor’s representative, shall make the record available to the supervisory authority on request.	Rocket MV can fulfill this requirement for all data stored within the database through appropriately designed queries and reports of a data subject’s records. Processing activities surrounding a data subject’s records can be evidenced through audit logs and reported on to show all access to and modification of such records.

Article 32: Security of processing

GDPR REQUIREMENTS	ROCKET MV CAPABILITIES
1.a Taking into account the state of the art, the costs of implementation and the nature, scope, context and purposes of processing as well as the risk of varying likelihood and severity for the rights and freedoms of natural persons, the controller and the processor shall implement appropriate technical and organizational measures to ensure a level of security appropriate to the risk, including the pseudonymization and encryption of personal data.	OpenSSL-based automatic data encryption protects data in-transit, in-use, and at rest. This encryption also protects the integrity of the data being sent and received to prevent inaccuracies. Parties can be certain that they are talking to the intended party, and data has not been corrupted or maliciously altered during transmission.
1.b Taking into account the state of the art, the costs of implementation and the nature, scope, context and purposes of processing as well as the risk of varying likelihood and severity for the rights and freedoms of natural persons, the controller and the processor shall implement appropriate technical and organizational measures to ensure a level of security appropriate to the risk, including the ability to ensure the ongoing confidentiality, integrity, availability and resilience of processing systems and services.	Rocket MV implements both database-level access controls and user-level, role-based access controls. Retrieval locks and update locks (read and write access) can be configured granularly to support your confidentiality requirements and protect sensitive information. Access to and disclosure of information is limited only to authorized users. User authentication is performed by the operating system and passed to the database. Rocket MV supports username and password sets from Microsoft and Unix systems, as well as token-based single sign on (SSO). OpenSSL-based automatic data encryption protects data in-transit, in-use, and at rest. This encryption also protects the integrity of the data being sent and received to prevent inaccuracies. Parties can be certain that they are talking to the intended party, and data has not been corrupted or maliciously altered during transmission.
1.c Taking into account the state of the art, the costs of implementation and the nature, scope, context and purposes of processing as well as the risk of varying likelihood and severity for the rights and freedoms of natural persons, the controller and the processor shall implement appropriate technical and organizational measures to ensure a level of security appropriate to the risk, including the ability to restore the availability and access to personal data in a timely manner in the event of a physical or technical incident.	Delayed standby replication allows you to protect a subscriber from malicious damage caused by a compromise to the publisher. Real-time replication may introduce the same damage from the publisher to the subscriber, exposing you to a potential for data loss. Keeping the subscriber a defined interval behind the publisher (such as 6 hours) protects the business and assists in addressing “clear record” events. Rocket MV’s recoverable file system (RFS) helps maintain physical integrity of data at rest and ensure recovery from hardware failures. Rocket MV provides account backup and restore utilities that can assist with the restoration of a database to its last known good state.

Article 33: Notification of a personal data breach to the supervisory authority

GDPR REQUIREMENTS	ROCKET MV CAPABILITIES
3.a Notification of a breach provided to a supervisory authority shall describe the nature of the personal data breach including where possible, the categories and approximate number of data subjects concerned and the categories and approximate number of personal data records concerned.	Detailed audit logging and reporting capabilities can allow you to determine exactly what records were accessed, when, and by whom. This will aid in a forensic investigation into the extent of a data breach and the number of affected records. Audit logging configuration is stored in an encrypted file, which can be password-protected, and is only modifiable by authorized users.
5 The controller shall document any personal data breaches, comprising the facts relating to the personal data breach, its effects and the remedial action taken. That documentation shall enable the supervisory authority to verify compliance with this Article.	Audit logs and reports can provide documented evidence supporting your breach reporting actions and allow supervisory authorities to verify compliance.

Article 34: Notification of a personal data breach to the data subject

GDPR REQUIREMENTS	ROCKET MV CAPABILITIES
3.a Notification of a personal data breach to the data subject shall not be required if the controller has implemented appropriate technical and organizational protection measures, and those measures were applied to the personal data affected by the personal data breach, in particular those that render the personal data unintelligible to any person who is not authorized to access it, such as encryption.	OpenSSL-based automatic data encryption protects data in-transit, in-use, and at rest. Access to database files or their storage media by an unauthorized party without encryption keys will not result in a breach. Rocket MV supports the Transport Layer Security (TLS) encryption protocol through version 1.2. Data intercepted in transit will be unintelligible to any unauthorized party.

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