

9 November 2023

**Reference number: IC-263879-W4P3**

**Request**

You asked us: *"I would like to request the following information:*

*1. For the period 2018 to 2023, the number of data protection impact assessments (DPIAs) submitted to the Information Commissioner's Office each year in accordance with Article 36(1) of the Regulation (EU) 2016/679 of the European Parliament and of the Council*

*2. For the same period, the number of those DPIAs which specifically related to the processing of employee personal data*

*3. For the same period, the number of enforcement actions taken against controllers in relation to breaches of Articles 13 and 14 of the Regulation (EU) 2016/679 of the European Parliament and of the Council*

*4. For the same period, the number of those enforcement actions which specifically related to breaches of Article 13 and 14 within the context of employment"*

The above numbers were added by us to make our request easier to follow.

We received your request on 14 October 2023.

We have handled your request under the Freedom of Information Act 2000 (the FOIA).

**Our response**

Having searched our records, we can confirm that we hold information in the scope of your request.

| <b>Year</b> | <b>DPIA's received</b> | <b>Processing employee data</b> |
|-------------|------------------------|---------------------------------|
| 2018/19     | 4                      | 0                               |
| 2019/20     | 3                      | 0                               |
| 2020/21     | 10                     | 3                               |
| 2021/22     | 4                      | 1                               |

|         |   |   |
|---------|---|---|
| 2022/23 | 6 | 1 |
| 2023/24 | 3 | 0 |

The above years will run from 1 April to 31 March apart from 2018/19 and 2023/24. For 2023/24, we have considered the information up to the date your request was received. For 2018/19, the year begins from 25 May 2018 as this was the date the (EU) 2016/679 legislation was implemented.

We would also advise that some of the DPIA's we hold were also processing employee data, however, this was a 'byproduct' of the intending data processing. These have not been included in the figures above as the processing was not specifically employee processing data.

For question 3, we have compiled the below table to show the enforcement actions we have taken:

| <b>Year</b> | <b>Type of Enforcement action - Penalty Notice</b> | <b>Type of Enforcement action - Reprimand</b> | <b>Type of Enforcement action - Enforcement Notice</b> |
|-------------|--|---|--|
| 2018/19     | 0  | 0   | 0  |
| 2019/20     | 1  | 4   | 0  |
| 2020/21     | 0  | 0   | 0  |
| 2021/22     | 0  | 2   | 1  |
| 2022/23     | 1  | 0   | 0  |
| 2023/24     | 0  | 0   | 0  |

As before, the above years will run from 1 April to 31 March apart from 2023/24 and 2018/19. This is for the same reasons explained above.

For question 4, we do not hold information in the scope of this part of your request. This is because, either, the details of the case are no longer held or the action taken was not in the context of employment.

### **Next steps**

You can ask us to review our response. Please let us know in writing if you want us to carry out a review. Please do so within 40 working days.

You can read a copy of our full review procedure [here](#).

If we perform a review but you are still dissatisfied, you can complain to the ICO as regulator of the FOIA. This complaint will be handled just like a complaint made to the ICO about any other public authority.

You can [raise a complaint through our website](#).

## **Your information**

Our [Privacy notice](#) explains what we do with the personal data you provide to us, and set out your rights. Our retention schedule can be found [here](#).

Yours sincerely



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