

Appendix A

Data protection Breaches reported to the SIRO for the 12 months to March 2014

Reported breaches of DPA	Incident type	Service Area	Consequences	Referral to the ICO?	Case number	Actions taken by the Council
April 2013	Letter sent to wrong address	Legal & Democratic	Personal information shared with a neighbour. Letter recovered.	Yes	ENFO493202	Individuals notified and process explained Letter addressing procedure reviewed in Service. Revised policy circulated to SLT for information
July 2013	Letter sent to wrong address	Children's Services	Personal information shared with a neighbour. Letter recovered.	Yes	ENF0503612	Individual notified and process explained Address database updated.
July 2013	E-mail copied to other than intended recipient.	Head Teacher	Personal information copied to staff in the Council	No	n/a	Schools are their own data controllers.
Nov 2013	Letter sent to wrong address	Customers & Education Support	Information sent to wrong person	No	n/a	Individuals concerned notified.
Feb 2014	Copies of personal client records taken home and accidentally	Education & Children's Services	No loss of personal data	No	n/a	Procedure for issuing confidential records from Archives to be reviewed.

	destroyed					Disciplinary action considered.
Feb 2014	List of addresses lost on street.	Education	No permanent loss. Data recovered and returned to DCC	Finalising response to ICO	n/a	Individuals concerned notified. Disciplinary action considered.
March 2014	POVA minutes went astray within YGC after being sent in the post. Were sent by recorded delivery	Adult and Business Service	No permanent loss of data as letter recovered	Still investigating the facts	n/a	Advised Service to use secure encrypted e-mail in future
March 2014	Members iPad left on a plane	Legal & Democratic	No loss of data – remote wipe command sent to the device and was encrypted	No	n/a	Procedures for remote wipe followed.

Appendix B

Complaints made to ICO about DCC				
Sept 2013	Complaint made under FOIA to the ICO regarding Council's actions		FS50516555	No action required. ICO found in Council's favour
Feb 2014	Complaint made under FOIA to the ICO regarding Council's actions		FS50510588	No action required. ICO found that Section 40(2) had been correctly applied by the Council.
Feb 2014	Complaint made about the Council's policy on retaining HR files		RFA0527749	No action required. ICO found that the Council had acted correctly within the Records Management Society's guidelines.

Appendix C

Statistics for the period 1st April 2013 to 31st March 2014:

Total number of access to information requests received	1113
Total number of Freedom of Information requests received	872
Total number of Data Protection requests	140
Total number of Environmental Information requests received	101
% responded to within statutory timescales	84%

Appendix D - FOI/EIR/DP requests for the financial year 2013-2014

REQUESTOR TYPE	NUMBER OF REQUESTS
INDIVIDUALS	519
MEDIA	145
BUSINESS	126
OTHER	74
POLITICIANS, inc. Councillors (8)	74
CHARITIES & LOBBY GROUPS	41
OTHER AUTHORITIES	37
SOLICITORS	35
ACADEMICS	21
NHS	24
POLICE	8
UNIONS	7
INTERNAL	2

Appendix E – Access to information Panel meetings 2013 -2014

Date Of Panel	Ref No.	Subject	Outcome
17/04/2013	FOI 2013/2750	Internal review regarding Sec. 12(1)(where the cost of compliance exceeds the appropriate limit)	Original decision upheld
17/05/2013	FOI 2013/2784	Review regarding Sec. 43(2)(commercial interests)	Redaction to be carried out

22/07/2013	FOI 2013/2903	Internal review regarding Sec. 40(2)(personal information)	Original decision upheld
	FOI 2013/2909	Internal review regarding Sec. 1(1)(a) information not held	Original decision upheld
	FOI 2013/2916	Internal review regarding Sec. 1(1)(a) information not held	Original decision upheld
13/08/2013	FOI 2013/2750	ICO review - Original decision upheld	Respond as appropriate
05/09/13	FOI 2013/3025	Review regarding Sec. 43(2)(commercial interests)	Exemption engaged
	FOI 2013/3036	Review regarding Sec. 43(2)(commercial interests)	Clarification to be sought from requestor
	DP 2013/424 :	Internal review regarding CCTV footage, subject not present in requested footage	Original decision upheld
18/09/13	DP 2013/480	Review regarding Sec. 29 request	Request refused, not explicit
23/10/13	DP 2013/489	Review regarding CCTV footage of officers issuing PCN	Footage released
02/12/13	EIR 2013/373		Extended deadline under Reg. 7(1)(3)
25/02/14	FOI 2013/3345	Review regarding Sec. 12(1)(where the cost of compliance exceeds the appropriate limit)	Exemption not upheld, information provided

	FOI 2014/3539	Review and general discussion regarding Sec. 31(1)(a)(Law enforcement) and Public Health Funerals	Exemption engaged
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