



# Data Protection Act 2018

## 2018 CHAPTER 12

An Act to make provision for the regulation of the processing of information relating to individuals; to make provision in connection with the Information Commissioner's functions under certain regulations relating to information; to make provision for a direct marketing code of practice; and for connected purposes. [23rd May 2018]

BE IT ENACTED by the Queen's most Excellent Majesty, by and with the advice and consent of the Lords Spiritual and Temporal, and Commons, in this present Parliament assembled, and by the authority of the same, as follows:—

### PART 1

#### PRELIMINARY

#### 1 Overview

- (1) This Act makes provision about the processing of personal data.
- (2) Most processing of personal data is subject to the GDPR.
- (3) Part 2 supplements the GDPR (see Chapter 2) and applies a broadly equivalent regime to certain types of processing to which the GDPR does not apply (see Chapter 3).
- (4) Part 3 makes provision about the processing of personal data by competent authorities for law enforcement purposes and implements the Law Enforcement Directive.
- (5) Part 4 makes provision about the processing of personal data by the intelligence services.
- (6) Part 5 makes provision about the Information Commissioner.
- (7) Part 6 makes provision about the enforcement of the data protection legislation.

**Status:** Point in time view as at 23/05/2018. This version of this Act contains provisions that are not valid for this point in time.

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- (8) Part 7 makes supplementary provision, including provision about the application of this Act to the Crown and to Parliament.

VALID FROM 25/05/2018

## 2 Protection of personal data

- (1) The GDPR, the applied GDPR and this Act protect individuals with regard to the processing of personal data, in particular by—
- (a) requiring personal data to be processed lawfully and fairly, on the basis of the data subject's consent or another specified basis,
  - (b) conferring rights on the data subject to obtain information about the processing of personal data and to require inaccurate personal data to be rectified, and
  - (c) conferring functions on the Commissioner, giving the holder of that office responsibility for monitoring and enforcing their provisions.
- (2) When carrying out functions under the GDPR, the applied GDPR and this Act, the Commissioner must have regard to the importance of securing an appropriate level of protection for personal data, taking account of the interests of data subjects, controllers and others and matters of general public interest.

## 3 Terms relating to the processing of personal data

- (1) This section defines some terms used in this Act.
- (2) “Personal data” means any information relating to an identified or identifiable living individual (subject to subsection (14)(c)).
- (3) “Identifiable living individual” means a living individual who can be identified, directly or indirectly, in particular by reference to—
- (a) an identifier such as a name, an identification number, location data or an online identifier, or
  - (b) one or more factors specific to the physical, physiological, genetic, mental, economic, cultural or social identity of the individual.
- (4) “Processing”, in relation to information, means an operation or set of operations which is performed on information, or on sets of information, such as—
- (a) collection, recording, organisation, structuring or storage,
  - (b) adaptation or alteration,
  - (c) retrieval, consultation or use,
  - (d) disclosure by transmission, dissemination or otherwise making available,
  - (e) alignment or combination, or
  - (f) restriction, erasure or destruction,
- (subject to subsection (14)(c) and sections 5(7), 29(2) and 82(3), which make provision about references to processing in the different Parts of this Act).
- (5) “Data subject” means the identified or identifiable living individual to whom personal data relates.

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- (6) “Controller” and “processor”, in relation to the processing of personal data to which Chapter 2 or 3 of Part 2, Part 3 or Part 4 applies, have the same meaning as in that Chapter or Part (see sections 5, 6, 32 and 83 and see also subsection (14)(d)).
- (7) “Filing system” means any structured set of personal data which is accessible according to specific criteria, whether held by automated means or manually and whether centralised, decentralised or dispersed on a functional or geographical basis.
- (8) “The Commissioner” means the Information Commissioner (see section 114).
- (9) “The data protection legislation” means—
  - (a) the GDPR,
  - (b) the applied GDPR,
  - (c) this Act,
  - (d) regulations made under this Act, and
  - (e) regulations made under section 2(2) of the European Communities Act 1972 which relate to the GDPR or the Law Enforcement Directive.
- (10) “The GDPR” means [Regulation \(EU\) 2016/679](#) of the European Parliament and of the Council of 27 April 2016 on the protection of natural persons with regard to the processing of personal data and on the free movement of such data (General Data Protection Regulation).
- (11) “The applied GDPR” means the GDPR as applied by Chapter 3 of Part 2.
- (12) “The Law Enforcement Directive” means [Directive \(EU\) 2016/680](#) of the European Parliament and of the Council of 27 April 2016 on the protection of natural persons with regard to the processing of personal data by competent authorities for the purposes of the prevention, investigation, detection or prosecution of criminal offences or the execution of criminal penalties, and on the free movement of such data, and repealing Council Framework Decision 2008/977/JHA.
- (13) “The Data Protection Convention” means the Convention for the Protection of Individuals with regard to Automatic Processing of Personal Data which was opened for signature on 28 January 1981, as amended up to the day on which this Act is passed.
- (14) In Parts 5 to 7, except where otherwise provided—
  - (a) references to the GDPR are to the GDPR read with Chapter 2 of Part 2 and include the applied GDPR read with Chapter 3 of Part 2 ;
  - (b) references to Chapter 2 of Part 2, or to a provision of that Chapter, include that Chapter or that provision as applied by Chapter 3 of Part 2;
  - (c) references to personal data, and the processing of personal data, are to personal data and processing to which Chapter 2 or 3 of Part 2, Part 3 or Part 4 applies;
  - (d) references to a controller or processor are to a controller or processor in relation to the processing of personal data to which Chapter 2 or 3 of Part 2, Part 3 or Part 4 applies.
- (15) There is an index of defined expressions in section 206.

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## PART 2

### GENERAL PROCESSING

VALID FROM 25/05/2018

## CHAPTER 1

### SCOPE AND DEFINITIONS

#### **4 Processing to which this Part applies**

- (1) This Part is relevant to most processing of personal data.
- (2) Chapter 2 of this Part—
  - (a) applies to the types of processing of personal data to which the GDPR applies by virtue of Article 2 of the GDPR, and
  - (b) supplements, and must be read with, the GDPR.
- (3) Chapter 3 of this Part—
  - (a) applies to certain types of processing of personal data to which the GDPR does not apply (see section 21), and
  - (b) makes provision for a regime broadly equivalent to the GDPR to apply to such processing.

#### **5 Definitions**

- (1) Terms used in Chapter 2 of this Part and in the GDPR have the same meaning in Chapter 2 as they have in the GDPR.
- (2) In subsection (1), the reference to a term's meaning in the GDPR is to its meaning in the GDPR read with any provision of Chapter 2 which modifies the term's meaning for the purposes of the GDPR.
- (3) Subsection (1) is subject to any provision in Chapter 2 which provides expressly for the term to have a different meaning and to section 204.
- (4) Terms used in Chapter 3 of this Part and in the applied GDPR have the same meaning in Chapter 3 as they have in the applied GDPR.
- (5) In subsection (4), the reference to a term's meaning in the applied GDPR is to its meaning in the GDPR read with any provision of Chapter 2 (as applied by Chapter 3 ) or Chapter 3 which modifies the term's meaning for the purposes of the applied GDPR.
- (6) Subsection (4) is subject to any provision in Chapter 2 (as applied by Chapter 3 ) or Chapter 3 which provides expressly for the term to have a different meaning.
- (7) A reference in Chapter 2 or Chapter 3 of this Part to the processing of personal data is to processing to which the Chapter applies.
- (8) Sections 3 and 205 include definitions of other expressions used in this Part.

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## CHAPTER 2

### THE GDPR

VALID FROM 25/05/2018

#### *Meaning of certain terms used in the GDPR*

#### **6 Meaning of “controller”**

- (1) The definition of “controller” in Article 4(7) of the GDPR has effect subject to—
- (a) subsection (2),
  - (b) section 209, and
  - (c) section 210.
- (2) For the purposes of the GDPR, where personal data is processed only—
- (a) for purposes for which it is required by an enactment to be processed, and
  - (b) by means by which it is required by an enactment to be processed,
- the person on whom the obligation to process the data is imposed by the enactment (or, if different, one of the enactments) is the controller.

#### **7 Meaning of “public authority” and “public body”**

- (1) For the purposes of the GDPR, the following (and only the following) are “public authorities” and “public bodies” under the law of the United Kingdom—
- (a) a public authority as defined by the Freedom of Information Act 2000,
  - (b) a Scottish public authority as defined by the Freedom of Information (Scotland) Act 2002 (asp 13), and
  - (c) an authority or body specified or described by the Secretary of State in regulations,
- subject to subsections (2), (3) and (4).
- (2) An authority or body that falls within subsection (1) is only a “public authority” or “public body” for the purposes of the GDPR when performing a task carried out in the public interest or in the exercise of official authority vested in it.
- (3) The references in subsection (1)(a) and (b) to public authorities and Scottish public authorities as defined by the Freedom of Information Act 2000 and the Freedom of Information (Scotland) Act 2002 (asp 13) do not include any of the following that fall within those definitions—
- (a) a parish council in England;
  - (b) a community council in Wales;
  - (c) a community council in Scotland;
  - (d) a parish meeting constituted under section 13 of the Local Government Act 1972;
  - (e) a community meeting constituted under section 27 of that Act;
  - (f) charter trustees constituted—
    - (i) under section 246 of that Act,

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(ii) under Part 1 of the Local Government and Public Involvement in Health Act 2007, or

(iii) by the Charter Trustees Regulations 1996 (S.I. 1996/263).

(4) The Secretary of State may by regulations provide that a person specified or described in the regulations that is a public authority described in subsection (1)(a) or (b) is not a “public authority” or “public body” for the purposes of the GDPR.

(5) Regulations under this section are subject to the affirmative resolution procedure.

#### Commencement Information

**II** S. 7 in force at Royal Assent for specified purposes, see s. 212(2)(f)

VALID FROM 25/05/2018

### *Lawfulness of processing*

#### **8 Lawfulness of processing: public interest etc**

In Article 6(1) of the GDPR (lawfulness of processing), the reference in point (e) to processing of personal data that is necessary for the performance of a task carried out in the public interest or in the exercise of the controller's official authority includes processing of personal data that is necessary for—

- (a) the administration of justice,
- (b) the exercise of a function of either House of Parliament,
- (c) the exercise of a function conferred on a person by an enactment or rule of law,
- (d) the exercise of a function of the Crown, a Minister of the Crown or a government department, or
- (e) an activity that supports or promotes democratic engagement.

#### **9 Child's consent in relation to information society services**

In Article 8(1) of the GDPR (conditions applicable to child's consent in relation to information society services)—

- (a) references to “16 years” are to be read as references to “13 years”, and
- (b) the reference to “information society services” does not include preventive or counselling services.

### *Special categories of personal data*

#### **10 Special categories of personal data and criminal convictions etc data**

(1) Subsections (2) and (3) make provision about the processing of personal data described in Article 9(1) of the GDPR (prohibition on processing of special categories of

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- personal data) in reliance on an exception in one of the following points of Article 9(2)—
- (a) point (b) (employment, social security and social protection);
  - (b) point (g) (substantial public interest);
  - (c) point (h) (health and social care);
  - (d) point (i) (public health);
  - (e) point (j) (archiving, research and statistics).
- (2) The processing meets the requirement in point (b), (h), (i) or (j) of Article 9(2) of the GDPR for authorisation by, or a basis in, the law of the United Kingdom or a part of the United Kingdom only if it meets a condition in Part 1 of Schedule 1.
- (3) The processing meets the requirement in point (g) of Article 9(2) of the GDPR for a basis in the law of the United Kingdom or a part of the United Kingdom only if it meets a condition in Part 2 of Schedule 1.
- (4) Subsection (5) makes provision about the processing of personal data relating to criminal convictions and offences or related security measures that is not carried out under the control of official authority.
- (5) The processing meets the requirement in Article 10 of the GDPR for authorisation by the law of the United Kingdom or a part of the United Kingdom only if it meets a condition in Part 1, 2 or 3 of Schedule 1.
- (6) The Secretary of State may by regulations—
- (a) amend Schedule 1—
    - (i) by adding or varying conditions or safeguards, and
    - (ii) by omitting conditions or safeguards added by regulations under this section, and
  - (b) consequentially amend this section.
- (7) Regulations under this section are subject to the affirmative resolution procedure.

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**Commencement Information**

**I2** S. 10 in force at Royal Assent for specified purposes, see s. 212(2)(f)

VALID FROM 25/05/2018

**11 Special categories of personal data etc: supplementary**

- (1) For the purposes of Article 9(2)(h) of the GDPR (processing for health or social care purposes etc), the circumstances in which the processing of personal data is carried out subject to the conditions and safeguards referred to in Article 9(3) of the GDPR (obligation of secrecy) include circumstances in which it is carried out—
- (a) by or under the responsibility of a health professional or a social work professional, or
  - (b) by another person who in the circumstances owes a duty of confidentiality under an enactment or rule of law.

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- (2) In Article 10 of the GDPR and section 10, references to personal data relating to criminal convictions and offences or related security measures include personal data relating to—
- (a) the alleged commission of offences by the data subject, or
  - (b) proceedings for an offence committed or alleged to have been committed by the data subject or the disposal of such proceedings, including sentencing.

### *Rights of the data subject*

## **12 Limits on fees that may be charged by controllers**

- (1) The Secretary of State may by regulations specify limits on the fees that a controller may charge in reliance on—
- (a) Article 12(5) of the GDPR (reasonable fees when responding to manifestly unfounded or excessive requests), or
  - (b) Article 15(3) of the GDPR (reasonable fees for provision of further copies).
- (2) The Secretary of State may by regulations—
- (a) require controllers of a description specified in the regulations to produce and publish guidance about the fees that they charge in reliance on those provisions, and
  - (b) specify what the guidance must include.
- (3) Regulations under this section are subject to the negative resolution procedure.

### **Commencement Information**

- I3** S. 12 in force at Royal Assent for specified purposes, see s. 212(2)(f)

VALID FROM 25/05/2018

## **13 Obligations of credit reference agencies**

- (1) This section applies where a controller is a credit reference agency (within the meaning of section 145(8) of the Consumer Credit Act 1974).
- (2) The controller's obligations under Article 15(1) to (3) of the GDPR (confirmation of processing, access to data and safeguards for third country transfers) are taken to apply only to personal data relating to the data subject's financial standing, unless the data subject has indicated a contrary intention.
- (3) Where the controller discloses personal data in pursuance of Article 15(1) to (3) of the GDPR, the disclosure must be accompanied by a statement informing the data subject of the data subject's rights under section 159 of the Consumer Credit Act 1974 (correction of wrong information).



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## 14 Automated decision-making authorised by law: safeguards

- (1) This section makes provision for the purposes of Article 22(2)(b) of the GDPR (exception from Article 22(1) of the GDPR for significant decisions based solely on automated processing that are authorised by law and subject to safeguards for the data subject's rights, freedoms and legitimate interests).
- (2) A decision is a “significant decision” for the purposes of this section if, in relation to a data subject, it—
  - (a) produces legal effects concerning the data subject, or
  - (b) similarly significantly affects the data subject.
- (3) A decision is a “qualifying significant decision” for the purposes of this section if—
  - (a) it is a significant decision in relation to a data subject,
  - (b) it is required or authorised by law, and
  - (c) it does not fall within Article 22(2)(a) or (c) of the GDPR (decisions necessary to a contract or made with the data subject's consent).
- (4) Where a controller takes a qualifying significant decision in relation to a data subject based solely on automated processing—
  - (a) the controller must, as soon as reasonably practicable, notify the data subject in writing that a decision has been taken based solely on automated processing, and
  - (b) the data subject may, before the end of the period of 1 month beginning with receipt of the notification, request the controller to—
    - (i) reconsider the decision, or
    - (ii) take a new decision that is not based solely on automated processing.
- (5) If a request is made to a controller under subsection (4), the controller must, within the period described in Article 12(3) of the GDPR—
  - (a) consider the request, including any information provided by the data subject that is relevant to it,
  - (b) comply with the request, and
  - (c) by notice in writing inform the data subject of—
    - (i) the steps taken to comply with the request, and
    - (ii) the outcome of complying with the request.
- (6) In connection with this section, a controller has the powers and obligations under Article 12 of the GDPR (transparency, procedure for extending time for acting on request, fees, manifestly unfounded or excessive requests etc) that apply in connection with Article 22 of the GDPR.
- (7) The Secretary of State may by regulations make such further provision as the Secretary of State considers appropriate to provide suitable measures to safeguard a data subject's rights, freedoms and legitimate interests in connection with the taking of qualifying significant decisions based solely on automated processing.
- (8) Regulations under subsection (7)—
  - (a) may amend this section, and
  - (b) are subject to the affirmative resolution procedure.

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### Commencement Information

**I4** S. 14 in force at Royal Assent for specified purposes, see s. 212(2)(f)

## Restrictions on data subject's rights

VALID FROM 25/05/2018

### 15 Exemptions etc

- (1) Schedules 2, 3 and 4 make provision for exemptions from, and restrictions and adaptations of the application of, rules of the GDPR.
- (2) In Schedule 2—
  - (a) Part 1 makes provision adapting or restricting the application of rules contained in Articles 13 to 21 and 34 of the GDPR in specified circumstances, as allowed for by Article 6(3) and Article 23(1) of the GDPR;
  - (b) Part 2 makes provision restricting the application of rules contained in Articles 13 to 21 and 34 of the GDPR in specified circumstances, as allowed for by Article 23(1) of the GDPR;
  - (c) Part 3 makes provision restricting the application of Article 15 of the GDPR where this is necessary to protect the rights of others, as allowed for by Article 23(1) of the GDPR;
  - (d) Part 4 makes provision restricting the application of rules contained in Articles 13 to 15 of the GDPR in specified circumstances, as allowed for by Article 23(1) of the GDPR;
  - (e) Part 5 makes provision containing exemptions or derogations from Chapters II, III, IV, V and VII of the GDPR for reasons relating to freedom of expression, as allowed for by Article 85(2) of the GDPR;
  - (f) Part 6 makes provision containing derogations from rights contained in Articles 15, 16, 18, 19, 20 and 21 of the GDPR for scientific or historical research purposes, statistical purposes and archiving purposes, as allowed for by Article 89(2) and (3) of the GDPR.
- (3) Schedule 3 makes provision restricting the application of rules contained in Articles 13 to 21 of the GDPR to health, social work, education and child abuse data, as allowed for by Article 23(1) of the GDPR.
- (4) Schedule 4 makes provision restricting the application of rules contained in Articles 13 to 21 of the GDPR to information the disclosure of which is prohibited or restricted by an enactment, as allowed for by Article 23(1) of the GDPR.
- (5) In connection with the safeguarding of national security and with defence, see Chapter 3 of this Part and the exemption in section 26.

### 16 Power to make further exemptions etc by regulations

- (1) The following powers to make provision altering the application of the GDPR may be exercised by way of regulations made by the Secretary of State under this section—

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- (a) the power in Article 6(3) for Member State law to lay down a legal basis containing specific provisions to adapt the application of rules of the GDPR where processing is necessary for compliance with a legal obligation, for the performance of a task in the public interest or in the exercise of official authority;
  - (b) the power in Article 23(1) to make a legislative measure restricting the scope of the obligations and rights mentioned in that Article where necessary and proportionate to safeguard certain objectives of general public interest;
  - (c) the power in Article 85(2) to provide for exemptions or derogations from certain Chapters of the GDPR where necessary to reconcile the protection of personal data with the freedom of expression and information.
- (2) Regulations under this section may—
- (a) amend Schedules 2 to 4—
    - (i) by adding or varying provisions, and
    - (ii) by omitting provisions added by regulations under this section, and
  - (b) consequentially amend section 15.
- (3) Regulations under this section are subject to the affirmative resolution procedure.

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**Commencement Information**

**I5** S. 16 in force at Royal Assent for specified purposes, see s. 212(2)(f)

VALID FROM 25/05/2018

*Accreditation of certification providers*

**17 Accreditation of certification providers**

- (1) Accreditation of a person as a certification provider is only valid when carried out by—
  - (a) the Commissioner, or
  - (b) the national accreditation body.
- (2) The Commissioner may only accredit a person as a certification provider where the Commissioner—
  - (a) has published a statement that the Commissioner will carry out such accreditation, and
  - (b) has not published a notice withdrawing that statement.
- (3) The national accreditation body may only accredit a person as a certification provider where the Commissioner—
  - (a) has published a statement that the body may carry out such accreditation, and
  - (b) has not published a notice withdrawing that statement.
- (4) The publication of a notice under subsection (2)(b) or (3)(b) does not affect the validity of any accreditation carried out before its publication.

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- (5) Schedule 5 makes provision about reviews of, and appeals from, a decision relating to accreditation of a person as a certification provider.
- (6) The national accreditation body may charge a reasonable fee in connection with, or incidental to, the carrying out of the body's functions under this section, Schedule 5 and Article 43 of the GDPR.
- (7) The national accreditation body must provide the Secretary of State with such information relating to its functions under this section, Schedule 5 and Article 43 of the GDPR as the Secretary of State may reasonably require.
- (8) In this section—
- “certification provider” means a person who issues certification for the purposes of Article 42 of the GDPR;
- “the national accreditation body” means the national accreditation body for the purposes of Article 4(1) of Regulation (EC) No 765/2008 of the European Parliament and of the Council of 9 July 2008 setting out the requirements for accreditation and market surveillance relating to the marketing of products and repealing Regulation (EEC) No 339/93.

### *Transfers of personal data to third countries etc*

## **18 Transfers of personal data to third countries etc**

- (1) The Secretary of State may by regulations specify, for the purposes of Article 49(1) (d) of the GDPR—
- (a) circumstances in which a transfer of personal data to a third country or international organisation is to be taken to be necessary for important reasons of public interest, and
  - (b) circumstances in which a transfer of personal data to a third country or international organisation which is not required by an enactment is not to be taken to be necessary for important reasons of public interest.
- (2) The Secretary of State may by regulations restrict the transfer of a category of personal data to a third country or international organisation where—
- (a) the transfer is not authorised by an adequacy decision under Article 45(3) of the GDPR, and
  - (b) the Secretary of State considers the restriction to be necessary for important reasons of public interest.
- (3) Regulations under this section—
- (a) are subject to the made affirmative resolution procedure where the Secretary of State has made an urgency statement in respect of them;
  - (b) are otherwise subject to the affirmative resolution procedure.
- (4) For the purposes of this section, an urgency statement is a reasoned statement that the Secretary of State considers it desirable for the regulations to come into force without delay.

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**I6** S. 18 in force at Royal Assent for specified purposes, see s. 212(2)(f)

## *Specific processing situations*

### **19 Processing for archiving, research and statistical purposes: safeguards**

- (1) This section makes provision about—
- (a) processing of personal data that is necessary for archiving purposes in the public interest,
  - (b) processing of personal data that is necessary for scientific or historical research purposes, and
  - (c) processing of personal data that is necessary for statistical purposes.
- (2) Such processing does not satisfy the requirement in Article 89(1) of the GDPR for the processing to be subject to appropriate safeguards for the rights and freedoms of the data subject if it is likely to cause substantial damage or substantial distress to a data subject.
- (3) Such processing does not satisfy that requirement if the processing is carried out for the purposes of measures or decisions with respect to a particular data subject, unless the purposes for which the processing is necessary include the purposes of approved medical research.
- (4) In this section—
- “approved medical research” means medical research carried out by a person who has approval to carry out that research from—
- (a) a research ethics committee recognised or established by the Health Research Authority under Chapter 2 of Part 3 of the Care Act 2014, or
  - (b) a body appointed by any of the following for the purpose of assessing the ethics of research involving individuals—
    - (i) the Secretary of State, the Scottish Ministers, the Welsh Ministers, or a Northern Ireland department;
    - (ii) a relevant NHS body;
    - (iii) United Kingdom Research and Innovation or a body that is a Research Council for the purposes of the Science and Technology Act 1965;
    - (iv) an institution that is a research institution for the purposes of Chapter 4A of Part 7 of the Income Tax (Earnings and Pensions) Act 2003 (see section 457 of that Act);
- “relevant NHS body” means—
- (a) an NHS trust or NHS foundation trust in England,
  - (b) an NHS trust or Local Health Board in Wales,
  - (c) a Health Board or Special Health Board constituted under section 2 of the National Health Service (Scotland) Act 1978,
  - (d) the Common Services Agency for the Scottish Health Service, or

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- (e) any of the health and social care bodies in Northern Ireland falling within paragraphs (a) to (e) of section 1(5) of the Health and Social Care (Reform) Act (Northern Ireland) 2009 (c. 1 (N.I.)).
- (5) The Secretary of State may by regulations change the meaning of “approved medical research” for the purposes of this section, including by amending subsection (4).
- (6) Regulations under subsection (5) are subject to the affirmative resolution procedure.

#### Commencement Information

- 17** S. 19 in force at Royal Assent for specified purposes, see s. 212(2)(f)

VALID FROM 25/05/2018

#### *Minor definition*

#### **20** Meaning of “court”

Section 5(1) (terms used in this Chapter to have the same meaning as in the GDPR) does not apply to references in this Chapter to a court and, accordingly, such references do not include a tribunal.

## CHAPTER 3

### OTHER GENERAL PROCESSING

VALID FROM 25/05/2018

#### *Scope*

#### **21** Processing to which this Chapter applies

- (1) This Chapter applies to the automated or structured processing of personal data in the course of—
- (a) an activity which is outside the scope of European Union law, or
  - (b) an activity which falls within the scope of Article 2(2)(b) of the GDPR (common foreign and security policy activities),
- provided that the processing is not processing by a competent authority for any of the law enforcement purposes (as defined in Part 3) or processing to which Part 4 (intelligence services processing) applies.
- (2) This Chapter also applies to the manual unstructured processing of personal data held by an FOI public authority.
- (3) This Chapter does not apply to the processing of personal data by an individual in the course of a purely personal or household activity.

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- (4) In this section—
- “the automated or structured processing of personal data” means—
- (a) the processing of personal data wholly or partly by automated means, and
  - (b) the processing otherwise than by automated means of personal data which forms part of a filing system or is intended to form part of a filing system;
- “the manual unstructured processing of personal data” means the processing of personal data which is not the automated or structured processing of personal data.
- (5) In this Chapter, “FOI public authority” means—
- (a) a public authority as defined in the Freedom of Information Act 2000, or
  - (b) a Scottish public authority as defined in the Freedom of Information (Scotland) Act 2002 (asp 13).
- (6) References in this Chapter to personal data “held” by an FOI public authority are to be interpreted—
- (a) in relation to England and Wales and Northern Ireland, in accordance with section 3(2) of the Freedom of Information Act 2000, and
  - (b) in relation to Scotland, in accordance with section 3(2), (4) and (5) of the Freedom of Information (Scotland) Act 2002 (asp 13),
- but such references do not include information held by an intelligence service (as defined in section 82) on behalf of an FOI public authority.
- (7) But personal data is not to be treated as “held” by an FOI public authority for the purposes of this Chapter, where—
- (a) section 7 of the Freedom of Information Act 2000 prevents Parts 1 to 5 of that Act from applying to the personal data, or
  - (b) section 7(1) of the Freedom of Information (Scotland) Act 2002 (asp 13) prevents that Act from applying to the personal data.

### *Application of the GDPR*

VALID FROM 25/05/2018

## **22 Application of the GDPR to processing to which this Chapter applies**

- (1) The GDPR applies to the processing of personal data to which this Chapter applies but as if its Articles were part of an Act extending to England and Wales, Scotland and Northern Ireland.
- (2) Chapter 2 of this Part applies for the purposes of the applied GDPR as it applies for the purposes of the GDPR.
- (3) In this Chapter, “the applied Chapter 2 ” means Chapter 2 of this Part as applied by this Chapter.
- (4) Schedule 6 contains provision modifying—
  - (a) the GDPR as it applies by virtue of subsection (1) (see Part 1);

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(b) Chapter 2 of this Part as it applies by virtue of subsection (2) (see Part 2).

- (5) A question as to the meaning or effect of a provision of the applied GDPR, or the applied Chapter 2, is to be determined consistently with the interpretation of the equivalent provision of the GDPR, or Chapter 2 of this Part, as it applies otherwise than by virtue of this Chapter, except so far as Schedule 6 requires a different interpretation.

### 23 Power to make provision in consequence of regulations related to the GDPR

- (1) The Secretary of State may by regulations make provision in connection with the processing of personal data to which this Chapter applies which is equivalent to that made by GDPR regulations, subject to such modifications as the Secretary of State considers appropriate.
- (2) In this section, “GDPR regulations” means regulations made under section 2(2) of the European Communities Act 1972 which make provision relating to the GDPR.
- (3) Regulations under subsection (1) may apply a provision of GDPR regulations, with or without modification.
- (4) Regulations under subsection (1) may amend or repeal a provision of—
  - (a) the applied GDPR;
  - (b) this Chapter;
  - (c) Parts 5 to 7, in so far as they apply in relation to the applied GDPR.
- (5) Regulations under this section are subject to the affirmative resolution procedure.

#### Commencement Information

**I8** S. 23 in force at Royal Assent for specified purposes, see s. 212(2)(f)

#### *Exemptions etc*

### 24 Manual unstructured data held by FOI public authorities

- (1) The provisions of the applied GDPR and this Act listed in subsection (2) do not apply to personal data to which this Chapter applies by virtue of section 21(2) (manual unstructured personal data held by FOI public authorities).
- (2) Those provisions are—
  - (a) in Chapter II of the applied GDPR (principles)—
    - (i) Article 5(1)(a) to (c), (e) and (f) (principles relating to processing, other than the accuracy principle),
    - (ii) Article 6 (lawfulness),
    - (iii) Article 7 (conditions for consent),
    - (iv) Article 8(1) and (2) (child's consent),
    - (v) Article 9 (processing of special categories of personal data),
    - (vi) Article 10 (data relating to criminal convictions etc), and
    - (vii) Article 11(2) (processing not requiring identification);



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- (b) in Chapter III of the applied GDPR (rights of the data subject)—
    - (i) Article 13(1) to (3) (personal data collected from data subject: information to be provided),
    - (ii) Article 14(1) to (4) (personal data collected other than from data subject: information to be provided),
    - (iii) Article 20 (right to data portability), and
    - (iv) Article 21(1) (objections to processing);
  - (c) in Chapter V of the applied GDPR, Articles 44 to 49 (transfers of personal data to third countries or international organisations);
  - (d) sections 170 and 171 of this Act;
- (see also paragraph 1(2) of Schedule 18).
- (3) In addition, the provisions of the applied GDPR listed in subsection (4) do not apply to personal data to which this Chapter applies by virtue of section 21(2) where the personal data relates to appointments, removals, pay, discipline, superannuation or other personnel matters in relation to—
- (a) service in any of the armed forces of the Crown;
  - (b) service in any office or employment under the Crown or under any public authority;
  - (c) service in any office or employment, or under any contract for services, in respect of which power to take action, or to determine or approve the action taken, in such matters is vested in—
    - (i) Her Majesty,
    - (ii) a Minister of the Crown,
    - (iii) the National Assembly for Wales,
    - (iv) the Welsh Ministers,
    - (v) a Northern Ireland Minister (within the meaning of the Freedom of Information Act 2000), or
    - (vi) an FOI public authority.
- (4) Those provisions are—
- (a) the remaining provisions of Chapters II and III (principles and rights of the data subject);
  - (b) Chapter IV (controller and processor);
  - (c) Chapter IX (specific processing situations).
- (5) A controller is not obliged to comply with Article 15(1) to (3) of the applied GDPR (right of access by the data subject) in relation to personal data to which this Chapter applies by virtue of section 21(2) if—
- (a) the request under that Article does not contain a description of the personal data, or
  - (b) the controller estimates that the cost of complying with the request so far as relating to the personal data would exceed the appropriate maximum.
- (6) Subsection (5)(b) does not remove the controller's obligation to confirm whether or not personal data concerning the data subject is being processed unless the estimated cost of complying with that obligation alone in relation to the personal data would exceed the appropriate maximum.
- (7) An estimate for the purposes of this section must be made in accordance with regulations under section 12(5) of the Freedom of Information Act 2000.

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(8) In subsections (5) and (6), “the appropriate maximum” means the maximum amount specified by the Secretary of State by regulations.

(9) Regulations under subsection (8) are subject to the negative resolution procedure.

#### Commencement Information

**I9** S. 24 in force at Royal Assent for specified purposes, see s. 212(2)(f)

VALID FROM 25/05/2018

### 25 Manual unstructured data used in longstanding historical research

(1) The provisions of the applied GDPR listed in subsection (2) do not apply to personal data to which this Chapter applies by virtue of section 21(2) (manual unstructured personal data held by FOI public authorities) at any time when—

- (a) the personal data—
  - (i) is subject to processing which was already underway immediately before 24 October 1998, and
  - (ii) is processed only for the purposes of historical research, and
- (b) the processing is not carried out—
  - (i) for the purposes of measures or decisions with respect to a particular data subject, or
  - (ii) in a way that causes, or is likely to cause, substantial damage or substantial distress to a data subject.

(2) Those provisions are—

- (a) in Chapter II of the applied GDPR (principles), Article 5(1)(d) (the accuracy principle), and
- (b) in Chapter III of the applied GDPR (rights of the data subject)—
  - (i) Article 16 (right to rectification), and
  - (ii) Article 17(1) and (2) (right to erasure).

(3) The exemptions in this section apply in addition to the exemptions in section 24.

VALID FROM 25/05/2018

### 26 National security and defence exemption

(1) A provision of the applied GDPR or this Act mentioned in subsection (2) does not apply to personal data to which this Chapter applies if exemption from the provision is required for—

- (a) the purpose of safeguarding national security, or
- (b) defence purposes.

(2) The provisions are—

- (a) Chapter II of the applied GDPR (principles) except for—

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- (i) Article 5(1)(a) (lawful, fair and transparent processing), so far as it requires processing of personal data to be lawful;
- (ii) Article 6 (lawfulness of processing);
- (iii) Article 9 (processing of special categories of personal data);
- (b) Chapter III of the applied GDPR (rights of data subjects);
- (c) in Chapter IV of the applied GDPR—
  - (i) Article 33 (notification of personal data breach to the Commissioner);
  - (ii) Article 34 (communication of personal data breach to the data subject);
- (d) Chapter V of the applied GDPR (transfers of personal data to third countries or international organisations);
- (e) in Chapter VI of the applied GDPR—
  - (i) Article 57(1)(a) and (h) (Commissioner's duties to monitor and enforce the applied GDPR and to conduct investigations);
  - (ii) Article 58 (investigative, corrective, authorisation and advisory powers of Commissioner);
- (f) Chapter VIII of the applied GDPR (remedies, liabilities and penalties) except for—
  - (i) Article 83 (general conditions for imposing administrative fines);
  - (ii) Article 84 (penalties);
- (g) in Part 5 of this Act—
  - (i) in section 115 (general functions of the Commissioner), subsections (3) and (8);
  - (ii) in section 115, subsection (9), so far as it relates to Article 58(2)(i) of the applied GDPR;
  - (iii) section 119 (inspection in accordance with international obligations);
- (h) in Part 6 of this Act—
  - (i) sections 142 to 154 and Schedule 15 (Commissioner's notices and powers of entry and inspection);
  - (ii) sections 170 to 173 (offences relating to personal data);
- (i) in Part 7 of this Act, section 187 (representation of data subjects).

VALID FROM 25/05/2018

## 27 National security: certificate

- (1) Subject to subsection (3), a certificate signed by a Minister of the Crown certifying that exemption from all or any of the provisions listed in section 26(2) is, or at any time was, required in relation to any personal data for the purpose of safeguarding national security is conclusive evidence of that fact.
- (2) A certificate under subsection (1)—
  - (a) may identify the personal data to which it applies by means of a general description, and
  - (b) may be expressed to have prospective effect.

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- (3) Any person directly affected by a certificate under subsection (1) may appeal to the Tribunal against the certificate.
- (4) If, on an appeal under subsection (3), the Tribunal finds that, applying the principles applied by a court on an application for judicial review, the Minister did not have reasonable grounds for issuing a certificate, the Tribunal may—
  - (a) allow the appeal, and
  - (b) quash the certificate.
- (5) Where, in any proceedings under or by virtue of the applied GDPR or this Act, it is claimed by a controller that a certificate under subsection (1) which identifies the personal data to which it applies by means of a general description applies to any personal data, another party to the proceedings may appeal to the Tribunal on the ground that the certificate does not apply to the personal data in question.
- (6) But, subject to any determination under subsection (7), the certificate is to be conclusively presumed so to apply.
- (7) On an appeal under subsection (5), the Tribunal may determine that the certificate does not so apply.
- (8) A document purporting to be a certificate under subsection (1) is to be—
  - (a) received in evidence, and
  - (b) deemed to be such a certificate unless the contrary is proved.
- (9) A document which purports to be certified by or on behalf of a Minister of the Crown as a true copy of a certificate issued by that Minister under subsection (1) is—
  - (a) in any legal proceedings, evidence of that certificate;
  - (b) in any legal proceedings in Scotland, sufficient evidence of that certificate.
- (10) The power conferred by subsection (1) on a Minister of the Crown is exercisable only by—
  - (a) a Minister who is a member of the Cabinet, or
  - (b) the Attorney General or the Advocate General for Scotland.

VALID FROM 25/05/2018

## **28 National security and defence: modifications to Articles 9 and 32 of the applied GDPR**

- (1) Article 9(1) of the applied GDPR (prohibition on processing of special categories of personal data) does not prohibit the processing of personal data to which this Chapter applies to the extent that the processing is carried out—
  - (a) for the purpose of safeguarding national security or for defence purposes, and
  - (b) with appropriate safeguards for the rights and freedoms of data subjects.
- (2) Article 32 of the applied GDPR (security of processing) does not apply to a controller or processor to the extent that the controller or the processor (as the case may be) is processing personal data to which this Chapter applies for—
  - (a) the purpose of safeguarding national security, or

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- (b) defence purposes.
- (3) Where Article 32 of the applied GDPR does not apply, the controller or the processor must implement security measures appropriate to the risks arising from the processing of the personal data.
- (4) For the purposes of subsection (3), where the processing of personal data is carried out wholly or partly by automated means, the controller or the processor must, following an evaluation of the risks, implement measures designed to—
  - (a) prevent unauthorised processing or unauthorised interference with the systems used in connection with the processing,
  - (b) ensure that it is possible to establish the precise details of any processing that takes place,
  - (c) ensure that any systems used in connection with the processing function properly and may, in the case of interruption, be restored, and
  - (d) ensure that stored personal data cannot be corrupted if a system used in connection with the processing malfunctions.

## PART 3

### LAW ENFORCEMENT PROCESSING

## CHAPTER 1

### SCOPE AND DEFINITIONS

VALID FROM 25/05/2018

#### *Scope*

#### **29 Processing to which this Part applies**

- (1) This Part applies to—
  - (a) the processing by a competent authority of personal data wholly or partly by automated means, and
  - (b) the processing by a competent authority otherwise than by automated means of personal data which forms part of a filing system or is intended to form part of a filing system.
- (2) Any reference in this Part to the processing of personal data is to processing to which this Part applies.
- (3) For the meaning of “competent authority”, see section 30.

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## Definitions

### 30 Meaning of “competent authority”

- (1) In this Part, “competent authority” means—
  - (a) a person specified or described in Schedule 7, and
  - (b) any other person if and to the extent that the person has statutory functions for any of the law enforcement purposes.
- (2) But an intelligence service is not a competent authority within the meaning of this Part.
- (3) The Secretary of State may by regulations amend Schedule 7—
  - (a) so as to add or remove a person or description of person;
  - (b) so as to reflect any change in the name of a person specified in the Schedule.
- (4) Regulations under subsection (3) which make provision of the kind described in subsection (3)(a) may also make consequential amendments of section 73(4)(b).
- (5) Regulations under subsection (3) which make provision of the kind described in subsection (3)(a), or which make provision of that kind and of the kind described in subsection (3)(b), are subject to the affirmative resolution procedure.
- (6) Regulations under subsection (3) which make provision only of the kind described in subsection (3)(b) are subject to the negative resolution procedure.
- (7) In this section—
 

“intelligence service” means—

  - (a) the Security Service;
  - (b) the Secret Intelligence Service;
  - (c) the Government Communications Headquarters;

“statutory function” means a function under or by virtue of an enactment.

#### Commencement Information

**I10** S. 30 in force at Royal Assent for specified purposes, see s. 212(2)(f)

VALID FROM 25/05/2018

### 31 “The law enforcement purposes”

For the purposes of this Part, “the law enforcement purposes” are the purposes of the prevention, investigation, detection or prosecution of criminal offences or the execution of criminal penalties, including the safeguarding against and the prevention of threats to public security.

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VALID FROM 25/05/2018

### 32 Meaning of “controller” and “processor”

- (1) In this Part, “controller” means the competent authority which, alone or jointly with others—
  - (a) determines the purposes and means of the processing of personal data, or
  - (b) is the controller by virtue of subsection (2).
- (2) Where personal data is processed only—
  - (a) for purposes for which it is required by an enactment to be processed, and
  - (b) by means by which it is required by an enactment to be processed,the competent authority on which the obligation to process the data is imposed by the enactment (or, if different, one of the enactments) is the controller.
- (3) In this Part, “processor” means any person who processes personal data on behalf of the controller (other than a person who is an employee of the controller).

VALID FROM 25/05/2018

### 33 Other definitions

- (1) This section defines certain other expressions used in this Part.
- (2) “Employee”, in relation to any person, includes an individual who holds a position (whether paid or unpaid) under the direction and control of that person.
- (3) “Personal data breach” means a breach of security leading to the accidental or unlawful destruction, loss, alteration, unauthorised disclosure of, or access to, personal data transmitted, stored or otherwise processed.
- (4) “Profiling” means any form of automated processing of personal data consisting of the use of personal data to evaluate certain personal aspects relating to an individual, in particular to analyse or predict aspects concerning that individual's performance at work, economic situation, health, personal preferences, interests, reliability, behaviour, location or movements.
- (5) “Recipient”, in relation to any personal data, means any person to whom the data is disclosed, whether a third party or not, but it does not include a public authority to whom disclosure is or may be made in the framework of a particular inquiry in accordance with the law.
- (6) “Restriction of processing” means the marking of stored personal data with the aim of limiting its processing for the future.
- (7) “Third country” means a country or territory other than a member State.
- (8) Sections 3 and 205 include definitions of other expressions used in this Part.

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## CHAPTER 2

### PRINCIPLES

VALID FROM 25/05/2018

#### **34 Overview and general duty of controller**

- (1) This Chapter sets out the six data protection principles as follows—
  - (a) section 35(1) sets out the first data protection principle (requirement that processing be lawful and fair);
  - (b) section 36(1) sets out the second data protection principle (requirement that purposes of processing be specified, explicit and legitimate);
  - (c) section 37 sets out the third data protection principle (requirement that personal data be adequate, relevant and not excessive);
  - (d) section 38(1) sets out the fourth data protection principle (requirement that personal data be accurate and kept up to date);
  - (e) section 39(1) sets out the fifth data protection principle (requirement that personal data be kept for no longer than is necessary);
  - (f) section 40 sets out the sixth data protection principle (requirement that personal data be processed in a secure manner).
- (2) In addition—
  - (a) each of sections 35, 36, 38 and 39 makes provision to supplement the principle to which it relates, and
  - (b) sections 41 and 42 make provision about the safeguards that apply in relation to certain types of processing.
- (3) The controller in relation to personal data is responsible for, and must be able to demonstrate, compliance with this Chapter.

#### **35 The first data protection principle**

- (1) The first data protection principle is that the processing of personal data for any of the law enforcement purposes must be lawful and fair.
- (2) The processing of personal data for any of the law enforcement purposes is lawful only if and to the extent that it is based on law and either—
  - (a) the data subject has given consent to the processing for that purpose, or
  - (b) the processing is necessary for the performance of a task carried out for that purpose by a competent authority.
- (3) In addition, where the processing for any of the law enforcement purposes is sensitive processing, the processing is permitted only in the two cases set out in subsections (4) and (5).
- (4) The first case is where—
  - (a) the data subject has given consent to the processing for the law enforcement purpose as mentioned in subsection (2)(a), and



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- (b) at the time when the processing is carried out, the controller has an appropriate policy document in place (see section 42).
- (5) The second case is where—
  - (a) the processing is strictly necessary for the law enforcement purpose,
  - (b) the processing meets at least one of the conditions in Schedule 8, and
  - (c) at the time when the processing is carried out, the controller has an appropriate policy document in place (see section 42).
- (6) The Secretary of State may by regulations amend Schedule 8—
  - (a) by adding conditions;
  - (b) by omitting conditions added by regulations under paragraph (a).
- (7) Regulations under subsection (6) are subject to the affirmative resolution procedure.
- (8) In this section, “sensitive processing” means—
  - (a) the processing of personal data revealing racial or ethnic origin, political opinions, religious or philosophical beliefs or trade union membership;
  - (b) the processing of genetic data, or of biometric data, for the purpose of uniquely identifying an individual;
  - (c) the processing of data concerning health;
  - (d) the processing of data concerning an individual's sex life or sexual orientation.

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**Commencement Information**

**III** S. 35 in force at Royal Assent for specified purposes, see s. 212(2)(f)

VALID FROM 25/05/2018

**36 The second data protection principle**

- (1) The second data protection principle is that—
  - (a) the law enforcement purpose for which personal data is collected on any occasion must be specified, explicit and legitimate, and
  - (b) personal data so collected must not be processed in a manner that is incompatible with the purpose for which it was collected.
- (2) Paragraph (b) of the second data protection principle is subject to subsections (3) and (4).
- (3) Personal data collected for a law enforcement purpose may be processed for any other law enforcement purpose (whether by the controller that collected the data or by another controller) provided that—
  - (a) the controller is authorised by law to process the data for the other purpose, and
  - (b) the processing is necessary and proportionate to that other purpose.
- (4) Personal data collected for any of the law enforcement purposes may not be processed for a purpose that is not a law enforcement purpose unless the processing is authorised by law.

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VALID FROM 25/05/2018

### 37 The third data protection principle

The third data protection principle is that personal data processed for any of the law enforcement purposes must be adequate, relevant and not excessive in relation to the purpose for which it is processed.

VALID FROM 25/05/2018

### 38 The fourth data protection principle

- (1) The fourth data protection principle is that—
  - (a) personal data processed for any of the law enforcement purposes must be accurate and, where necessary, kept up to date, and
  - (b) every reasonable step must be taken to ensure that personal data that is inaccurate, having regard to the law enforcement purpose for which it is processed, is erased or rectified without delay.
- (2) In processing personal data for any of the law enforcement purposes, personal data based on facts must, so far as possible, be distinguished from personal data based on personal assessments.
- (3) In processing personal data for any of the law enforcement purposes, a clear distinction must, where relevant and as far as possible, be made between personal data relating to different categories of data subject, such as—
  - (a) persons suspected of having committed or being about to commit a criminal offence;
  - (b) persons convicted of a criminal offence;
  - (c) persons who are or may be victims of a criminal offence;
  - (d) witnesses or other persons with information about offences.
- (4) All reasonable steps must be taken to ensure that personal data which is inaccurate, incomplete or no longer up to date is not transmitted or made available for any of the law enforcement purposes.
- (5) For that purpose—
  - (a) the quality of personal data must be verified before it is transmitted or made available,
  - (b) in all transmissions of personal data, the necessary information enabling the recipient to assess the degree of accuracy, completeness and reliability of the data and the extent to which it is up to date must be included, and
  - (c) if, after personal data has been transmitted, it emerges that the data was incorrect or that the transmission was unlawful, the recipient must be notified without delay.

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VALID FROM 25/05/2018

### **39 The fifth data protection principle**

- (1) The fifth data protection principle is that personal data processed for any of the law enforcement purposes must be kept for no longer than is necessary for the purpose for which it is processed.
- (2) Appropriate time limits must be established for the periodic review of the need for the continued storage of personal data for any of the law enforcement purposes.

VALID FROM 25/05/2018

### **40 The sixth data protection principle**

The sixth data protection principle is that personal data processed for any of the law enforcement purposes must be so processed in a manner that ensures appropriate security of the personal data, using appropriate technical or organisational measures (and, in this principle, “appropriate security” includes protection against unauthorised or unlawful processing and against accidental loss, destruction or damage).

VALID FROM 25/05/2018

### **41 Safeguards: archiving**

- (1) This section applies in relation to the processing of personal data for a law enforcement purpose where the processing is necessary—
  - (a) for archiving purposes in the public interest,
  - (b) for scientific or historical research purposes, or
  - (c) for statistical purposes.
- (2) The processing is not permitted if—
  - (a) it is carried out for the purposes of, or in connection with, measures or decisions with respect to a particular data subject, or
  - (b) it is likely to cause substantial damage or substantial distress to a data subject.

VALID FROM 25/05/2018

### **42 Safeguards: sensitive processing**

- (1) This section applies for the purposes of section 35(4) and (5) (which require a controller to have an appropriate policy document in place when carrying out sensitive processing in reliance on the consent of the data subject or, as the case may be, in reliance on a condition specified in Schedule 8).

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- (2) The controller has an appropriate policy document in place in relation to the sensitive processing if the controller has produced a document which—
  - (a) explains the controller's procedures for securing compliance with the data protection principles (see section 34(1)) in connection with sensitive processing in reliance on the consent of the data subject or (as the case may be) in reliance on the condition in question, and
  - (b) explains the controller's policies as regards the retention and erasure of personal data processed in reliance on the consent of the data subject or (as the case may be) in reliance on the condition in question, giving an indication of how long such personal data is likely to be retained.
- (3) Where personal data is processed on the basis that an appropriate policy document is in place, the controller must during the relevant period—
  - (a) retain the appropriate policy document,
  - (b) review and (if appropriate) update it from time to time, and
  - (c) make it available to the Commissioner, on request, without charge.
- (4) The record maintained by the controller under section 61(1) and, where the sensitive processing is carried out by a processor on behalf of the controller, the record maintained by the processor under section 61(3) must include the following information—
  - (a) whether the sensitive processing is carried out in reliance on the consent of the data subject or, if not, which condition in Schedule 8 is relied on,
  - (b) how the processing satisfies section 35 (lawfulness of processing), and
  - (c) whether the personal data is retained and erased in accordance with the policies described in subsection (2)(b) and, if it is not, the reasons for not following those policies.
- (5) In this section, “relevant period”, in relation to sensitive processing in reliance on the consent of the data subject or in reliance on a condition specified in Schedule 8, means a period which—
  - (a) begins when the controller starts to carry out the sensitive processing in reliance on the data subject's consent or (as the case may be) in reliance on that condition, and
  - (b) ends at the end of the period of 6 months beginning when the controller ceases to carry out the processing.

## CHAPTER 3

### RIGHTS OF THE DATA SUBJECT

VALID FROM 25/05/2018

#### *Overview and scope*

#### **43 Overview and scope**

- (1) This Chapter—

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- (a) imposes general duties on the controller to make information available (see section 44);
  - (b) confers a right of access by the data subject (see section 45);
  - (c) confers rights on the data subject with respect to the rectification of personal data and the erasure of personal data or the restriction of its processing (see sections 46 to 48);
  - (d) regulates automated decision-making (see sections 49 and 50);
  - (e) makes supplementary provision (see sections 51 to 54).
- (2) This Chapter applies only in relation to the processing of personal data for a law enforcement purpose.
- (3) But sections 44 to 48 do not apply in relation to the processing of relevant personal data in the course of a criminal investigation or criminal proceedings, including proceedings for the purpose of executing a criminal penalty.
- (4) In subsection (3), “relevant personal data” means personal data contained in a judicial decision or in other documents relating to the investigation or proceedings which are created by or on behalf of a court or other judicial authority.
- (5) In this Chapter, “the controller”, in relation to a data subject, means the controller in relation to personal data relating to the data subject.

VALID FROM 25/05/2018

*Information: controller's general duties*

**44 Information: controller's general duties**

- (1) The controller must make available to data subjects the following information (whether by making the information generally available to the public or in any other way)—
- (a) the identity and the contact details of the controller;
  - (b) where applicable, the contact details of the data protection officer (see sections 69 to 71);
  - (c) the purposes for which the controller processes personal data;
  - (d) the existence of the rights of data subjects to request from the controller—
    - (i) access to personal data (see section 45),
    - (ii) rectification of personal data (see section 46), and
    - (iii) erasure of personal data or the restriction of its processing (see section 47);
  - (e) the existence of the right to lodge a complaint with the Commissioner and the contact details of the Commissioner.
- (2) The controller must also, in specific cases for the purpose of enabling the exercise of a data subject's rights under this Part, give the data subject the following—
- (a) information about the legal basis for the processing;
  - (b) information about the period for which the personal data will be stored or, where that is not possible, about the criteria used to determine that period;

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- (c) where applicable, information about the categories of recipients of the personal data (including recipients in third countries or international organisations);
  - (d) such further information as is necessary to enable the exercise of the data subject's rights under this Part.
- (3) An example of where further information may be necessary as mentioned in subsection (2)(d) is where the personal data being processed was collected without the knowledge of the data subject.
- (4) The controller may restrict, wholly or partly, the provision of information to the data subject under subsection (2) to the extent that and for so long as the restriction is, having regard to the fundamental rights and legitimate interests of the data subject, a necessary and proportionate measure to—
- (a) avoid obstructing an official or legal inquiry, investigation or procedure;
  - (b) avoid prejudicing the prevention, detection, investigation or prosecution of criminal offences or the execution of criminal penalties;
  - (c) protect public security;
  - (d) protect national security;
  - (e) protect the rights and freedoms of others.
- (5) Where the provision of information to a data subject under subsection (2) is restricted, wholly or partly, the controller must inform the data subject in writing without undue delay—
- (a) that the provision of information has been restricted,
  - (b) of the reasons for the restriction,
  - (c) of the data subject's right to make a request to the Commissioner under section 51,
  - (d) of the data subject's right to lodge a complaint with the Commissioner, and
  - (e) of the data subject's right to apply to a court under section 167.
- (6) Subsection (5)(a) and (b) do not apply to the extent that complying with them would undermine the purpose of the restriction.
- (7) The controller must—
- (a) record the reasons for a decision to restrict (whether wholly or partly) the provision of information to a data subject under subsection (2), and
  - (b) if requested to do so by the Commissioner, make the record available to the Commissioner.

VALID FROM 25/05/2018

### *Data subject's right of access*

#### **45 Right of access by the data subject**

- (1) A data subject is entitled to obtain from the controller—
- (a) confirmation as to whether or not personal data concerning him or her is being processed, and

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- (b) where that is the case, access to the personal data and the information set out in subsection (2).
- (2) That information is—
- (a) the purposes of and legal basis for the processing;
  - (b) the categories of personal data concerned;
  - (c) the recipients or categories of recipients to whom the personal data has been disclosed (including recipients or categories of recipients in third countries or international organisations);
  - (d) the period for which it is envisaged that the personal data will be stored or, where that is not possible, the criteria used to determine that period;
  - (e) the existence of the data subject's rights to request from the controller—
    - (i) rectification of personal data (see section 46), and
    - (ii) erasure of personal data or the restriction of its processing (see section 47);
  - (f) the existence of the data subject's right to lodge a complaint with the Commissioner and the contact details of the Commissioner;
  - (g) communication of the personal data undergoing processing and of any available information as to its origin.
- (3) Where a data subject makes a request under subsection (1), the information to which the data subject is entitled must be provided in writing —
- (a) without undue delay, and
  - (b) in any event, before the end of the applicable time period (as to which see section 54).
- (4) The controller may restrict, wholly or partly, the rights conferred by subsection (1) to the extent that and for so long as the restriction is, having regard to the fundamental rights and legitimate interests of the data subject, a necessary and proportionate measure to—
- (a) avoid obstructing an official or legal inquiry, investigation or procedure;
  - (b) avoid prejudicing the prevention, detection, investigation or prosecution of criminal offences or the execution of criminal penalties;
  - (c) protect public security;
  - (d) protect national security;
  - (e) protect the rights and freedoms of others.
- (5) Where the rights of a data subject under subsection (1) are restricted, wholly or partly, the controller must inform the data subject in writing without undue delay—
- (a) that the rights of the data subject have been restricted,
  - (b) of the reasons for the restriction,
  - (c) of the data subject's right to make a request to the Commissioner under section 51,
  - (d) of the data subject's right to lodge a complaint with the Commissioner, and
  - (e) of the data subject's right to apply to a court under section 167.
- (6) Subsection (5)(a) and (b) do not apply to the extent that the provision of the information would undermine the purpose of the restriction.
- (7) The controller must—

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- (a) record the reasons for a decision to restrict (whether wholly or partly) the rights of a data subject under subsection (1), and
- (b) if requested to do so by the Commissioner, make the record available to the Commissioner.

VALID FROM 25/05/2018

*Data subject's rights to rectification or erasure etc*

**46 Right to rectification**

- (1) The controller must, if so requested by a data subject, rectify without undue delay inaccurate personal data relating to the data subject.
- (2) Where personal data is inaccurate because it is incomplete, the controller must, if so requested by a data subject, complete it.
- (3) The duty under subsection (2) may, in appropriate cases, be fulfilled by the provision of a supplementary statement.
- (4) Where the controller would be required to rectify personal data under this section but the personal data must be maintained for the purposes of evidence, the controller must (instead of rectifying the personal data) restrict its processing.

**47 Right to erasure or restriction of processing**

- (1) The controller must erase personal data without undue delay where—
  - (a) the processing of the personal data would infringe section 35, 36(1) to (3), 37, 38(1), 39(1), 40, 41 or 42, or
  - (b) the controller has a legal obligation to erase the data.
- (2) Where the controller would be required to erase personal data under subsection (1) but the personal data must be maintained for the purposes of evidence, the controller must (instead of erasing the personal data) restrict its processing.
- (3) Where a data subject contests the accuracy of personal data (whether in making a request under this section or section 46 or in any other way), but it is not possible to ascertain whether it is accurate or not, the controller must restrict its processing.
- (4) A data subject may request the controller to erase personal data or to restrict its processing (but the duties of the controller under this section apply whether or not such a request is made).

**48 Rights under section 46 or 47: supplementary**

- (1) Where a data subject requests the rectification or erasure of personal data or the restriction of its processing, the controller must inform the data subject in writing—
  - (a) whether the request has been granted, and
  - (b) if it has been refused—
    - (i) of the reasons for the refusal,



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- (ii) of the data subject's right to make a request to the Commissioner under section 51,
  - (iii) of the data subject's right to lodge a complaint with the Commissioner, and
  - (iv) of the data subject's right to apply to a court under section 167.
- (2) The controller must comply with the duty under subsection (1)—
- (a) without undue delay, and
  - (b) in any event, before the end of the applicable time period (see section 54).
- (3) The controller may restrict, wholly or partly, the provision of information to the data subject under subsection (1)(b)(i) to the extent that and for so long as the restriction is, having regard to the fundamental rights and legitimate interests of the data subject, a necessary and proportionate measure to—
- (a) avoid obstructing an official or legal inquiry, investigation or procedure;
  - (b) avoid prejudicing the prevention, detection, investigation or prosecution of criminal offences or the execution of criminal penalties;
  - (c) protect public security;
  - (d) protect national security;
  - (e) protect the rights and freedoms of others.
- (4) Where the rights of a data subject under subsection (1) are restricted, wholly or partly, the controller must inform the data subject in writing without undue delay—
- (a) that the rights of the data subject have been restricted,
  - (b) of the reasons for the restriction,
  - (c) of the data subject's right to lodge a complaint with the Commissioner, and
  - (d) of the data subject's right to apply to a court under section 167.
- (5) Subsection (4)(a) and (b) do not apply to the extent that the provision of the information would undermine the purpose of the restriction.
- (6) The controller must—
- (a) record the reasons for a decision to restrict (whether wholly or partly) the provision of information to a data subject under subsection (1)(b)(i), and
  - (b) if requested to do so by the Commissioner, make the record available to the Commissioner.
- (7) Where the controller rectifies personal data, it must notify the competent authority (if any) from which the inaccurate personal data originated.
- (8) In subsection (7), the reference to a competent authority includes (in addition to a competent authority within the meaning of this Part) any person that is a competent authority for the purposes of the Law Enforcement Directive in a member State other than the United Kingdom.
- (9) Where the controller rectifies, erases or restricts the processing of personal data which has been disclosed by the controller—
- (a) the controller must notify the recipients, and
  - (b) the recipients must similarly rectify, erase or restrict the processing of the personal data (so far as they retain responsibility for it).

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- (10) Where processing is restricted in accordance with section 47(3), the controller must inform the data subject before lifting the restriction.

*Automated individual decision-making*

VALID FROM 25/05/2018

**49 Right not to be subject to automated decision-making**

- (1) A controller may not take a significant decision based solely on automated processing unless that decision is required or authorised by law.
- (2) A decision is a “significant decision” for the purpose of this section if, in relation to a data subject, it—
  - (a) produces an adverse legal effect concerning the data subject, or
  - (b) significantly affects the data subject.

**50 Automated decision-making authorised by law: safeguards**

- (1) A decision is a “qualifying significant decision” for the purposes of this section if—
  - (a) it is a significant decision in relation to a data subject, and
  - (b) it is required or authorised by law.
- (2) Where a controller takes a qualifying significant decision in relation to a data subject based solely on automated processing—
  - (a) the controller must, as soon as reasonably practicable, notify the data subject in writing that a decision has been taken based solely on automated processing, and
  - (b) the data subject may, before the end of the period of 1 month beginning with receipt of the notification, request the controller to—
    - (i) reconsider the decision, or
    - (ii) take a new decision that is not based solely on automated processing.
- (3) If a request is made to a controller under subsection (2), the controller must, before the end of the period of 1 month beginning with receipt of the request—
  - (a) consider the request, including any information provided by the data subject that is relevant to it,
  - (b) comply with the request, and
  - (c) by notice in writing inform the data subject of—
    - (i) the steps taken to comply with the request, and
    - (ii) the outcome of complying with the request.
- (4) The Secretary of State may by regulations make such further provision as the Secretary of State considers appropriate to provide suitable measures to safeguard a data subject's rights, freedoms and legitimate interests in connection with the taking of qualifying significant decisions based solely on automated processing.
- (5) Regulations under subsection (4)—

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- (a) may amend this section, and
  - (b) are subject to the affirmative resolution procedure.
- (6) In this section “significant decision” has the meaning given by section 49(2).

#### Commencement Information

**I12** S. 50 in force at Royal Assent for specified purposes, see s. 212(2)(f)

### Supplementary

VALID FROM 25/05/2018

#### 51 Exercise of rights through the Commissioner

- (1) This section applies where a controller—
- (a) restricts under section 44(4) the information provided to the data subject under section 44(2) (duty of the controller to give the data subject additional information),
  - (b) restricts under section 45(4) the data subject's rights under section 45(1) (right of access), or
  - (c) refuses a request by the data subject for rectification under section 46 or for erasure or restriction of processing under section 47.
- (2) The data subject may—
- (a) where subsection (1)(a) or (b) applies, request the Commissioner to check that the restriction imposed by the controller was lawful;
  - (b) where subsection (1)(c) applies, request the Commissioner to check that the refusal of the data subject's request was lawful.
- (3) The Commissioner must take such steps as appear to the Commissioner to be appropriate to respond to a request under subsection (2) (which may include the exercise of any of the powers conferred by sections 142 and 146).
- (4) After taking those steps, the Commissioner must inform the data subject—
- (a) where subsection (1)(a) or (b) applies, whether the Commissioner is satisfied that the restriction imposed by the controller was lawful;
  - (b) where subsection (1)(c) applies, whether the Commissioner is satisfied that the controller's refusal of the data subject's request was lawful.
- (5) The Commissioner must also inform the data subject of the data subject's right to apply to a court under section 167.
- (6) Where the Commissioner is not satisfied as mentioned in subsection (4)(a) or (b), the Commissioner may also inform the data subject of any further steps that the Commissioner is considering taking under Part 6 .

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## 52 Form of provision of information etc

- (1) The controller must take reasonable steps to ensure that any information that is required by this Chapter to be provided to the data subject is provided in a concise, intelligible and easily accessible form, using clear and plain language.
- (2) Subject to subsection (3), the information may be provided in any form, including electronic form.
- (3) Where information is provided in response to a request by the data subject under section 45, 46, 47 or 50, the controller must provide the information in the same form as the request where it is practicable to do so.
- (4) Where the controller has reasonable doubts about the identity of an individual making a request under section 45, 46 or 47, the controller may—
  - (a) request the provision of additional information to enable the controller to confirm the identity, and
  - (b) delay dealing with the request until the identity is confirmed.
- (5) Subject to section 53, any information that is required by this Chapter to be provided to the data subject must be provided free of charge.
- (6) The controller must facilitate the exercise of the rights of the data subject under sections 45 to 50.

## 53 Manifestly unfounded or excessive requests by the data subject

- (1) Where a request from a data subject under section 45, 46, 47 or 50 is manifestly unfounded or excessive, the controller may—
  - (a) charge a reasonable fee for dealing with the request, or
  - (b) refuse to act on the request.
- (2) An example of a request that may be excessive is one that merely repeats the substance of previous requests.
- (3) In any proceedings where there is an issue as to whether a request under section 45, 46, 47 or 50 is manifestly unfounded or excessive, it is for the controller to show that it is.
- (4) The Secretary of State may by regulations specify limits on the fees that a controller may charge in accordance with subsection (1)(a).
- (5) Regulations under subsection (4) are subject to the negative resolution procedure.

### Commencement Information

**I13** S. 53 in force at Royal Assent for specified purposes, see s. 212(2)(f)

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## 54 Meaning of “applicable time period”

- (1) This section defines “the applicable time period” for the purposes of sections 45(3)(b) and 48(2)(b).
- (2) “The applicable time period” means the period of 1 month, or such longer period as may be specified in regulations, beginning with the relevant time.
- (3) “The relevant time” means the latest of the following—
  - (a) when the controller receives the request in question;
  - (b) when the controller receives the information (if any) requested in connection with a request under section 52(4);
  - (c) when the fee (if any) charged in connection with the request under section 53 is paid.
- (4) The power to make regulations under subsection (2) is exercisable by the Secretary of State.
- (5) Regulations under subsection (2) may not specify a period which is longer than 3 months.
- (6) Regulations under subsection (2) are subject to the negative resolution procedure.

### Commencement Information

**I14** S. 54 in force at Royal Assent for specified purposes, see s. 212(2)(f)

VALID FROM 25/05/2018

## CHAPTER 4

### CONTROLLER AND PROCESSOR

#### *Overview and scope*

## 55 Overview and scope

- (1) This Chapter—
  - (a) sets out the general obligations of controllers and processors (see sections 56 to 65);
  - (b) sets out specific obligations of controllers and processors with respect to security (see section 66);
  - (c) sets out specific obligations of controllers and processors with respect to personal data breaches (see sections 67 and 68);
  - (d) makes provision for the designation, position and tasks of data protection officers (see sections 69 to 71).
- (2) This Chapter applies only in relation to the processing of personal data for a law enforcement purpose.

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- (3) Where a controller is required by any provision of this Chapter to implement appropriate technical and organisational measures, the controller must (in deciding what measures are appropriate) take into account—
- (a) the latest developments in technology,
  - (b) the cost of implementation,
  - (c) the nature, scope, context and purposes of processing, and
  - (d) the risks for the rights and freedoms of individuals arising from the processing.

### *General obligations*

#### **56 General obligations of the controller**

- (1) Each controller must implement appropriate technical and organisational measures to ensure, and to be able to demonstrate, that the processing of personal data complies with the requirements of this Part.
- (2) Where proportionate in relation to the processing, the measures implemented to comply with the duty under subsection (1) must include appropriate data protection policies.
- (3) The technical and organisational measures implemented under subsection (1) must be reviewed and updated where necessary.

#### **57 Data protection by design and default**

- (1) Each controller must implement appropriate technical and organisational measures which are designed—
  - (a) to implement the data protection principles in an effective manner, and
  - (b) to integrate into the processing itself the safeguards necessary for that purpose.
- (2) The duty under subsection (1) applies both at the time of the determination of the means of processing the data and at the time of the processing itself.
- (3) Each controller must implement appropriate technical and organisational measures for ensuring that, by default, only personal data which is necessary for each specific purpose of the processing is processed.
- (4) The duty under subsection (3) applies to—
  - (a) the amount of personal data collected,
  - (b) the extent of its processing,
  - (c) the period of its storage, and
  - (d) its accessibility.
- (5) In particular, the measures implemented to comply with the duty under subsection (3) must ensure that, by default, personal data is not made accessible to an indefinite number of people without an individual's intervention.

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## **58 Joint controllers**

- (1) Where two or more competent authorities jointly determine the purposes and means of processing personal data, they are joint controllers for the purposes of this Part.
- (2) Joint controllers must, in a transparent manner, determine their respective responsibilities for compliance with this Part by means of an arrangement between them, except to the extent that those responsibilities are determined under or by virtue of an enactment.
- (3) The arrangement must designate the controller which is to be the contact point for data subjects.

## **59 Processors**

- (1) This section applies to the use by a controller of a processor to carry out processing of personal data on behalf of the controller.
- (2) The controller may use only a processor who provides guarantees to implement appropriate technical and organisational measures that are sufficient to secure that the processing will—
  - (a) meet the requirements of this Part, and
  - (b) ensure the protection of the rights of the data subject.
- (3) The processor used by the controller may not engage another processor (“a sub-processor”) without the prior written authorisation of the controller, which may be specific or general.
- (4) Where the controller gives a general written authorisation to a processor, the processor must inform the controller if the processor proposes to add to the number of sub-processors engaged by it or to replace any of them (so that the controller has the opportunity to object to the proposal).
- (5) The processing by the processor must be governed by a contract in writing between the controller and the processor setting out the following—
  - (a) the subject-matter and duration of the processing;
  - (b) the nature and purpose of the processing;
  - (c) the type of personal data and categories of data subjects involved;
  - (d) the obligations and rights of the controller and processor.
- (6) The contract must, in particular, provide that the processor must—
  - (a) act only on instructions from the controller,
  - (b) ensure that the persons authorised to process personal data are subject to an appropriate duty of confidentiality,
  - (c) assist the controller by any appropriate means to ensure compliance with the rights of the data subject under this Part,
  - (d) at the end of the provision of services by the processor to the controller—
    - (i) either delete or return to the controller (at the choice of the controller) the personal data to which the services relate, and
    - (ii) delete copies of the personal data unless subject to a legal obligation to store the copies,
  - (e) make available to the controller all information necessary to demonstrate compliance with this section, and

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(f) comply with the requirements of this section for engaging sub-processors.

- (7) The terms included in the contract in accordance with subsection (6)(a) must provide that the processor may transfer personal data to a third country or international organisation only if instructed by the controller to make the particular transfer.
- (8) If a processor determines, in breach of this Part, the purposes and means of processing, the processor is to be treated for the purposes of this Part as a controller in respect of that processing.

## **60 Processing under the authority of the controller or processor**

A processor, and any person acting under the authority of a controller or processor, who has access to personal data may not process the data except—

- (a) on instructions from the controller, or
- (b) to comply with a legal obligation.

## **61 Records of processing activities**

- (1) Each controller must maintain a record of all categories of processing activities for which the controller is responsible.
- (2) The controller's record must contain the following information—
- (a) the name and contact details of the controller;
  - (b) where applicable, the name and contact details of the joint controller;
  - (c) where applicable, the name and contact details of the data protection officer;
  - (d) the purposes of the processing;
  - (e) the categories of recipients to whom personal data has been or will be disclosed (including recipients in third countries or international organisations);
  - (f) a description of the categories of—
    - (i) data subject, and
    - (ii) personal data;
  - (g) where applicable, details of the use of profiling;
  - (h) where applicable, the categories of transfers of personal data to a third country or an international organisation;
  - (i) an indication of the legal basis for the processing operations, including transfers, for which the personal data is intended;
  - (j) where possible, the envisaged time limits for erasure of the different categories of personal data;
  - (k) where possible, a general description of the technical and organisational security measures referred to in section 66.
- (3) Each processor must maintain a record of all categories of processing activities carried out on behalf of a controller.
- (4) The processor's record must contain the following information—
- (a) the name and contact details of the processor and of any other processors engaged by the processor in accordance with section 59(3);
  - (b) the name and contact details of the controller on behalf of which the processor is acting;



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- (c) where applicable, the name and contact details of the data protection officer;
  - (d) the categories of processing carried out on behalf of the controller;
  - (e) where applicable, details of transfers of personal data to a third country or an international organisation where explicitly instructed to do so by the controller, including the identification of that third country or international organisation;
  - (f) where possible, a general description of the technical and organisational security measures referred to in section 66.
- (5) The controller and the processor must make the records kept under this section available to the Commissioner on request.

## 62 Logging

- (1) A controller (or, where personal data is processed on behalf of the controller by a processor, the processor) must keep logs for at least the following processing operations in automated processing systems—
- (a) collection;
  - (b) alteration;
  - (c) consultation;
  - (d) disclosure (including transfers);
  - (e) combination;
  - (f) erasure.
- (2) The logs of consultation must make it possible to establish—
- (a) the justification for, and date and time of, the consultation, and
  - (b) so far as possible, the identity of the person who consulted the data.
- (3) The logs of disclosure must make it possible to establish—
- (a) the justification for, and date and time of, the disclosure, and
  - (b) so far as possible—
    - (i) the identity of the person who disclosed the data, and
    - (ii) the identity of the recipients of the data.
- (4) The logs kept under subsection (1) may be used only for one or more of the following purposes—
- (a) to verify the lawfulness of processing;
  - (b) to assist with self-monitoring by the controller or (as the case may be) the processor, including the conduct of internal disciplinary proceedings;
  - (c) to ensure the integrity and security of personal data;
  - (d) the purposes of criminal proceedings.
- (5) The controller or (as the case may be) the processor must make the logs available to the Commissioner on request.

## 63 Co-operation with the Commissioner

Each controller and each processor must co-operate, on request, with the Commissioner in the performance of the Commissioner's tasks.

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#### **64 Data protection impact assessment**

- (1) Where a type of processing is likely to result in a high risk to the rights and freedoms of individuals, the controller must, prior to the processing, carry out a data protection impact assessment.
- (2) A data protection impact assessment is an assessment of the impact of the envisaged processing operations on the protection of personal data.
- (3) A data protection impact assessment must include the following—
  - (a) a general description of the envisaged processing operations;
  - (b) an assessment of the risks to the rights and freedoms of data subjects;
  - (c) the measures envisaged to address those risks;
  - (d) safeguards, security measures and mechanisms to ensure the protection of personal data and to demonstrate compliance with this Part, taking into account the rights and legitimate interests of the data subjects and other persons concerned.
- (4) In deciding whether a type of processing is likely to result in a high risk to the rights and freedoms of individuals, the controller must take into account the nature, scope, context and purposes of the processing.

#### **65 Prior consultation with the Commissioner**

- (1) This section applies where a controller intends to create a filing system and process personal data forming part of it.
- (2) The controller must consult the Commissioner prior to the processing if a data protection impact assessment prepared under section 64 indicates that the processing of the data would result in a high risk to the rights and freedoms of individuals (in the absence of measures to mitigate the risk).
- (3) Where the controller is required to consult the Commissioner under subsection (2), the controller must give the Commissioner—
  - (a) the data protection impact assessment prepared under section 64, and
  - (b) any other information requested by the Commissioner to enable the Commissioner to make an assessment of the compliance of the processing with the requirements of this Part.
- (4) Where the Commissioner is of the opinion that the intended processing referred to in subsection (1) would infringe any provision of this Part, the Commissioner must provide written advice to the controller and, where the controller is using a processor, to the processor.
- (5) The written advice must be provided before the end of the period of 6 weeks beginning with receipt of the request for consultation by the controller or the processor.
- (6) The Commissioner may extend the period of 6 weeks by a further period of 1 month, taking into account the complexity of the intended processing.
- (7) If the Commissioner extends the period of 6 weeks, the Commissioner must—
  - (a) inform the controller and, where applicable, the processor of any such extension before the end of the period of 1 month beginning with receipt of the request for consultation, and

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- (b) provide reasons for the delay.

#### *Obligations relating to security*

### **66 Security of processing**

- (1) Each controller and each processor must implement appropriate technical and organisational measures to ensure a level of security appropriate to the risks arising from the processing of personal data.
- (2) In the case of automated processing, each controller and each processor must, following an evaluation of the risks, implement measures designed to—
  - (a) prevent unauthorised processing or unauthorised interference with the systems used in connection with it,
  - (b) ensure that it is possible to establish the precise details of any processing that takes place,
  - (c) ensure that any systems used in connection with the processing function properly and may, in the case of interruption, be restored, and
  - (d) ensure that stored personal data cannot be corrupted if a system used in connection with the processing malfunctions.

#### *Obligations relating to personal data breaches*

### **67 Notification of a personal data breach to the Commissioner**

- (1) If a controller becomes aware of a personal data breach in relation to personal data for which the controller is responsible, the controller must notify the breach to the Commissioner—
  - (a) without undue delay, and
  - (b) where feasible, not later than 72 hours after becoming aware of it.
- (2) Subsection (1) does not apply if the personal data breach is unlikely to result in a risk to the rights and freedoms of individuals.
- (3) Where the notification to the Commissioner is not made within 72 hours, the notification must be accompanied by reasons for the delay.
- (4) Subject to subsection (5), the notification must include—
  - (a) a description of 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;
  - (b) the name and contact details of the data protection officer or other contact point from whom more information can be obtained;
  - (c) a description of the likely consequences of the personal data breach;
  - (d) a description of the measures taken or proposed to be taken by the controller to address the personal data breach, including, where appropriate, measures to mitigate its possible adverse effects.

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- (5) Where and to the extent that it is not possible to provide all the information mentioned in subsection (4) at the same time, the information may be provided in phases without undue further delay.
- (6) The controller must record the following information in relation to a personal data breach—
  - (a) the facts relating to the breach,
  - (b) its effects, and
  - (c) the remedial action taken.
- (7) The information mentioned in subsection (6) must be recorded in such a way as to enable the Commissioner to verify compliance with this section.
- (8) Where a personal data breach involves personal data that has been transmitted by or to a person who is a controller under the law of another member State, the information mentioned in subsection (6) must be communicated to that person without undue delay.
- (9) If a processor becomes aware of a personal data breach (in relation to personal data processed by the processor), the processor must notify the controller without undue delay.

## **68      Communication of a personal data breach to the data subject**

- (1) Where a personal data breach is likely to result in a high risk to the rights and freedoms of individuals, the controller must inform the data subject of the breach without undue delay.
- (2) The information given to the data subject must include the following—
  - (a) a description of the nature of the breach;
  - (b) the name and contact details of the data protection officer or other contact point from whom more information can be obtained;
  - (c) a description of the likely consequences of the personal data breach;
  - (d) a description of the measures taken or proposed to be taken by the controller to address the personal data breach, including, where appropriate, measures to mitigate its possible adverse effects.
- (3) The duty under subsection (1) does not apply where—
  - (a) the controller has implemented appropriate technological and organisational protection measures which were applied to the personal data affected by the breach,
  - (b) the controller has taken subsequent measures which ensure that the high risk to the rights and freedoms of data subjects referred to in subsection (1) is no longer likely to materialise, or
  - (c) it would involve a disproportionate effort.
- (4) An example of a case which may fall within subsection (3)(a) is where measures that render personal data unintelligible to any person not authorised to access the data have been applied, such as encryption.
- (5) In a case falling within subsection (3)(c) (but not within subsection (3)(a) or (b)), the information mentioned in subsection (2) must be made available to the data subject in another equally effective way, for example, by means of a public communication.

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- (6) Where the controller has not informed the data subject of the breach the Commissioner, on being notified under section 67 and after considering the likelihood of the breach resulting in a high risk, may—
  - (a) require the controller to notify the data subject of the breach, or
  - (b) decide that the controller is not required to do so because any of paragraphs (a) to (c) of subsection (3) applies.
- (7) The controller may restrict, wholly or partly, the provision of information to the data subject under subsection (1) to the extent that and for so long as the restriction is, having regard to the fundamental rights and legitimate interests of the data subject, a necessary and proportionate measure to—
  - (a) avoid obstructing an official or legal inquiry, investigation or procedure;
  - (b) avoid prejudicing the prevention, detection, investigation or prosecution of criminal offences or the execution of criminal penalties;
  - (c) protect public security;
  - (d) protect national security;
  - (e) protect the rights and freedoms of others.
- (8) Subsection (6) does not apply where the controller's decision not to inform the data subject of the breach was made in reliance on subsection (7).
- (9) The duties in section 52(1) and (2) apply in relation to information that the controller is required to provide to the data subject under this section as they apply in relation to information that the controller is required to provide to the data subject under Chapter 3 .

#### *Data protection officers*

### **69 Designation of a data protection officer**

- (1) The controller must designate a data protection officer, unless the controller is a court, or other judicial authority, acting in its judicial capacity.
- (2) When designating a data protection officer, the controller must have regard to the professional qualities of the proposed officer, in particular—
  - (a) the proposed officer's expert knowledge of data protection law and practice, and
  - (b) the ability of the proposed officer to perform the tasks mentioned in section 71.
- (3) The same person may be designated as a data protection officer by several controllers, taking account of their organisational structure and size.
- (4) The controller must publish the contact details of the data protection officer and communicate these to the Commissioner.

### **70 Position of data protection officer**

- (1) The controller must ensure that the data protection officer is involved, properly and in a timely manner, in all issues which relate to the protection of personal data.

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- (2) The controller must provide the data protection officer with the necessary resources and access to personal data and processing operations to enable the data protection officer to—
  - (a) perform the tasks mentioned in section 71, and
  - (b) maintain his or her expert knowledge of data protection law and practice.
- (3) The controller—
  - (a) must ensure that the data protection officer does not receive any instructions regarding the performance of the tasks mentioned in section 71;
  - (b) must ensure that the data protection officer does not perform a task or fulfil a duty other than those mentioned in this Part where such task or duty would result in a conflict of interests;
  - (c) must not dismiss or penalise the data protection officer for performing the tasks mentioned in section 71.
- (4) A data subject may contact the data protection officer with regard to all issues relating to—
  - (a) the processing of that data subject's personal data, or
  - (b) the exercise of that data subject's rights under this Part.
- (5) The data protection officer, in the performance of this role, must report to the highest management level of the controller.

## **71 Tasks of data protection officer**

- (1) The controller must entrust the data protection officer with at least the following tasks—
  - (a) informing and advising the controller, any processor engaged by the controller, and any employee of the controller who carries out processing of personal data, of that person's obligations under this Part,
  - (b) providing advice on the carrying out of a data protection impact assessment under section 64 and monitoring compliance with that section,
  - (c) co-operating with the Commissioner,
  - (d) acting as the contact point for the Commissioner on issues relating to processing, including in relation to the consultation mentioned in section 65, and consulting with the Commissioner, where appropriate, in relation to any other matter,
  - (e) monitoring compliance with policies of the controller in relation to the protection of personal data, and
  - (f) monitoring compliance by the controller with this Part.
- (2) In relation to the policies mentioned in subsection (1)(e), the data protection officer's tasks include—
  - (a) assigning responsibilities under those policies,
  - (b) raising awareness of those policies,
  - (c) training staff involved in processing operations, and
  - (d) conducting audits required under those policies.

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- (3) In performing the tasks set out in subsections (1) and (2), the data protection officer must have regard to the risks associated with processing operations, taking into account the nature, scope, context and purposes of processing.

VALID FROM 25/05/2018

## CHAPTER 5

### TRANSFERS OF PERSONAL DATA TO THIRD COUNTRIES ETC

#### *Overview and interpretation*

#### **72 Overview and interpretation**

- (1) This Chapter deals with the transfer of personal data to third countries or international organisations, as follows—
- sections 73 to 76 set out the general conditions that apply;
  - section 77 sets out the special conditions that apply where the intended recipient of personal data is not a relevant authority in a third country or an international organisation;
  - section 78 makes special provision about subsequent transfers of personal data.
- (2) In this Chapter, “relevant authority”, in relation to a third country, means any person based in a third country that has (in that country) functions comparable to those of a competent authority.

#### *General principles for transfers*

#### **73 General principles for transfers of personal data**

- (1) A controller may not transfer personal data to a third country or to an international organisation unless—
- the three conditions set out in subsections (2) to (4) are met, and
  - in a case where the personal data was originally transmitted or otherwise made available to the controller or another competent authority by a member State other than the United Kingdom, that member State, or any person based in that member State which is a competent authority for the purposes of the Law Enforcement Directive, has authorised the transfer in accordance with the law of the member State.
- (2) Condition 1 is that the transfer is necessary for any of the law enforcement purposes.
- (3) Condition 2 is that the transfer—
- is based on an adequacy decision (see section 74),
  - if not based on an adequacy decision, is based on there being appropriate safeguards (see section 75), or

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- (c) if not based on an adequacy decision or on there being appropriate safeguards, is based on special circumstances (see section 76).
- (4) Condition 3 is that—
  - (a) the intended recipient is a relevant authority in a third country or an international organisation that is a relevant international organisation, or
  - (b) in a case where the controller is a competent authority specified in any of paragraphs 5 to 17, 21, 24 to 28, 34 to 51, 54 and 56 of Schedule 7—
    - (i) the intended recipient is a person in a third country other than a relevant authority, and
    - (ii) the additional conditions in section 77 are met.
- (5) Authorisation is not required as mentioned in subsection (1)(b) if—
  - (a) the transfer is necessary for the prevention of an immediate and serious threat either to the public security of a member State or a third country or to the essential interests of a member State, and
  - (b) the authorisation cannot be obtained in good time.
- (6) Where a transfer is made without the authorisation mentioned in subsection (1)(b), the authority in the member State which would have been responsible for deciding whether to authorise the transfer must be informed without delay.
- (7) In this section, “relevant international organisation” means an international organisation that carries out functions for any of the law enforcement purposes.

#### **74 Transfers on the basis of an adequacy decision**

A transfer of personal data to a third country or an international organisation is based on an adequacy decision where—

- (a) the European Commission has decided, in accordance with Article 36 of the Law Enforcement Directive, that—
  - (i) the third country or a territory or one or more specified sectors within that third country, or
  - (ii) (as the case may be) the international organisation, ensures an adequate level of protection of personal data, and
- (b) that decision has not been repealed or suspended, or amended in a way that demonstrates that the Commission no longer considers there to be an adequate level of protection of personal data.

#### **75 Transfers on the basis of appropriate safeguards**

- (1) A transfer of personal data to a third country or an international organisation is based on there being appropriate safeguards where—
  - (a) a legal instrument containing appropriate safeguards for the protection of personal data binds the intended recipient of the data, or
  - (b) the controller, having assessed all the circumstances surrounding transfers of that type of personal data to the third country or international organisation, concludes that appropriate safeguards exist to protect the data.
- (2) The controller must inform the Commissioner about the categories of data transfers that take place in reliance on subsection (1)(b).



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- (3) Where a transfer of data takes place in reliance on subsection (1)—
- (a) the transfer must be documented,
  - (b) the documentation must be provided to the Commissioner on request, and
  - (c) the documentation must include, in particular—
    - (i) the date and time of the transfer,
    - (ii) the name of and any other pertinent information about the recipient,
    - (iii) the justification for the transfer, and
    - (iv) a description of the personal data transferred.

## **76 Transfers on the basis of special circumstances**

- (1) A transfer of personal data to a third country or international organisation is based on special circumstances where the transfer is necessary—
- (a) to protect the vital interests of the data subject or another person,
  - (b) to safeguard the legitimate interests of the data subject,
  - (c) for the prevention of an immediate and serious threat to the public security of a member State or a third country,
  - (d) in individual cases for any of the law enforcement purposes, or
  - (e) in individual cases for a legal purpose.
- (2) But subsection (1)(d) and (e) do not apply if the controller determines that fundamental rights and freedoms of the data subject override the public interest in the transfer.
- (3) Where a transfer of data takes place in reliance on subsection (1)—
- (a) the transfer must be documented,
  - (b) the documentation must be provided to the Commissioner on request, and
  - (c) the documentation must include, in particular—
    - (i) the date and time of the transfer,
    - (ii) the name of and any other pertinent information about the recipient,
    - (iii) the justification for the transfer, and
    - (iv) a description of the personal data transferred.
- (4) For the purposes of this section, a transfer is necessary for a legal purpose if—
- (a) it is necessary for the purpose of, or in connection with, any legal proceedings (including prospective legal proceedings) relating to any of the law enforcement purposes,
  - (b) it is necessary for the purpose of obtaining legal advice in relation to any of the law enforcement purposes, or
  - (c) it is otherwise necessary for the purposes of establishing, exercising or defending legal rights in relation to any of the law enforcement purposes.

### *Transfers to particular recipients*

## **77 Transfers of personal data to persons other than relevant authorities**

- (1) The additional conditions referred to in section 73(4)(b)(ii) are the following four conditions.

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- (2) Condition 1 is that the transfer is strictly necessary in a specific case for the performance of a task of the transferring controller as provided by law for any of the law enforcement purposes.
- (3) Condition 2 is that the transferring controller has determined that there are no fundamental rights and freedoms of the data subject concerned that override the public interest necessitating the transfer.
- (4) Condition 3 is that the transferring controller considers that the transfer of the personal data to a relevant authority in the third country would be ineffective or inappropriate (for example, where the transfer could not be made in sufficient time to enable its purpose to be fulfilled).
- (5) Condition 4 is that the transferring controller informs the intended recipient of the specific purpose or purposes for which the personal data may, so far as necessary, be processed.
- (6) Where personal data is transferred to a person in a third country other than a relevant authority, the transferring controller must inform a relevant authority in that third country without undue delay of the transfer, unless this would be ineffective or inappropriate.
- (7) The transferring controller must—
  - (a) document any transfer to a recipient in a third country other than a relevant authority, and
  - (b) inform the Commissioner about the transfer.
- (8) This section does not affect the operation of any international agreement in force between member States and third countries in the field of judicial co-operation in criminal matters and police co-operation.

#### *Subsequent transfers*

### **78 Subsequent transfers**

- (1) Where personal data is transferred in accordance with section 73, the transferring controller must make it a condition of the transfer that the data is not to be further transferred to a third country or international organisation without the authorisation of the transferring controller or another competent authority.
- (2) A competent authority may give an authorisation under subsection (1) only where the further transfer is necessary for a law enforcement purpose.
- (3) In deciding whether to give the authorisation, the competent authority must take into account (among any other relevant factors)—
  - (a) the seriousness of the circumstances leading to the request for authorisation,
  - (b) the purpose for which the personal data was originally transferred, and
  - (c) the standards for the protection of personal data that apply in the third country or international organisation to which the personal data would be transferred.
- (4) In a case where the personal data was originally transmitted or otherwise made available to the transferring controller or another competent authority by a member State other than the United Kingdom, an authorisation may not be given under

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subsection (1) unless that member State, or any person based in that member State which is a competent authority for the purposes of the Law Enforcement Directive, has authorised the transfer in accordance with the law of the member State.

- (5) Authorisation is not required as mentioned in subsection (4) if—
- (a) the transfer is necessary for the prevention of an immediate and serious threat either to the public security of a member State or a third country or to the essential interests of a member State, and
  - (b) the authorisation cannot be obtained in good time.
- (6) Where a transfer is made without the authorisation mentioned in subsection (4), the authority in the member State which would have been responsible for deciding whether to authorise the transfer must be informed without delay.

VALID FROM 25/05/2018

## CHAPTER 6

### SUPPLEMENTARY

#### 79 National security: certificate

- (1) A Minister of the Crown may issue a certificate certifying, for the purposes of section 44(4), 45(4), 48(3) or 68(7), that a restriction is a necessary and proportionate measure to protect national security.
- (2) The certificate may—
- (a) relate to a specific restriction (described in the certificate) which a controller has imposed or is proposing to impose under section 44(4), 45(4), 48(3) or 68(7), or
  - (b) identify any restriction to which it relates by means of a general description.
- (3) Subject to subsection (6), a certificate issued under subsection (1) is conclusive evidence that the specific restriction or (as the case may be) any restriction falling within the general description is, or at any time was, a necessary and proportionate measure to protect national security.
- (4) A certificate issued under subsection (1) may be expressed to have prospective effect.
- (5) Any person directly affected by the issuing of a certificate under subsection (1) may appeal to the Tribunal against the certificate.
- (6) If, on an appeal under subsection (5), the Tribunal finds that, applying the principles applied by a court on an application for judicial review, the Minister did not have reasonable grounds for issuing the certificate, the Tribunal may —
- (a) allow the appeal, and
  - (b) quash the certificate.
- (7) Where in any proceedings under or by virtue of this Act, it is claimed by a controller that a restriction falls within a general description in a certificate issued under subsection (1), any other party to the proceedings may appeal to the Tribunal on the ground that the restriction does not fall within that description.

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- (8) But, subject to any determination under subsection (9), the restriction is to be conclusively presumed to fall within the general description.
- (9) On an appeal under subsection (7), the Tribunal may determine that the certificate does not so apply.
- (10) A document purporting to be a certificate under subsection (1) is to be—
  - (a) received in evidence, and
  - (b) deemed to be such a certificate unless the contrary is proved.
- (11) A document which purports to be certified by or on behalf of a Minister of the Crown as a true copy of a certificate issued by that Minister under subsection (1) is—
  - (a) in any legal proceedings, evidence of that certificate, and
  - (b) in any legal proceedings in Scotland, sufficient evidence of that certificate.
- (12) The power conferred by subsection (1) on a Minister of the Crown is exercisable only by—
  - (a) a Minister who is a member of the Cabinet, or
  - (b) the Attorney General or the Advocate General for Scotland.
- (13) No power conferred by any provision of Part 6 may be exercised in relation to the imposition of—
  - (a) a specific restriction in a certificate under subsection (1), or
  - (b) a restriction falling within a general description in such a certificate.

## 80 Special processing restrictions

- (1) Subsections (3) and (4) apply where, for a law enforcement purpose, a controller transmits or otherwise makes available personal data to an EU recipient or a non-EU recipient.
- (2) In this section—
  - “EU recipient” means—
    - (a) a recipient in a member State other than the United Kingdom, or
    - (b) an agency, office or body established pursuant to Chapters 4 and 5 of Title V of the Treaty on the Functioning of the European Union;
  - “non-EU recipient” means—
    - (a) a recipient in a third country, or
    - (b) an international organisation.
- (3) The controller must consider whether, if the personal data had instead been transmitted or otherwise made available within the United Kingdom to another competent authority, processing of the data by the other competent authority would have been subject to any restrictions by virtue of any enactment or rule of law.
- (4) Where that would be the case, the controller must inform the EU recipient or non-EU recipient that the data is transmitted or otherwise made available subject to compliance by that person with the same restrictions (which must be set out in the information given to that person).
- (5) Except as provided by subsection (4), the controller may not impose restrictions on the processing of personal data transmitted or otherwise made available by the controller to an EU recipient.

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(6) Subsection (7) applies where—

- (a) a competent authority for the purposes of the Law Enforcement Directive in a member State other than the United Kingdom transmits or otherwise makes available personal data to a controller for a law enforcement purpose, and
- (b) the competent authority in the other member State informs the controller, in accordance with any law of that member State which implements Article 9(3) and (4) of the Law Enforcement Directive, that the data is transmitted or otherwise made available subject to compliance by the controller with restrictions set out by the competent authority.

(7) The controller must comply with the restrictions.

## **81 Reporting of infringements**

(1) Each controller must implement effective mechanisms to encourage the reporting of an infringement of this Part.

(2) The mechanisms implemented under subsection (1) must provide that an infringement may be reported to any of the following persons—

- (a) the controller;
- (b) the Commissioner.

(3) The mechanisms implemented under subsection (1) must include—

- (a) raising awareness of the protections provided by Part 4A of the Employment Rights Act 1996 and Part 5A of the Employment Rights (Northern Ireland) Order 1996 (S.I. 1996/1919 (N.I. 16)), and
- (b) such other protections for a person who reports an infringement of this Part as the controller considers appropriate.

(4) A person who reports an infringement of this Part does not breach—

- (a) an obligation of confidence owed by the person, or
- (b) any other restriction on the disclosure of information (however imposed).

(5) Subsection (4) does not apply if or to the extent that the report includes a disclosure which is prohibited by any of Parts 1 to 7 or Chapter 1 of Part 9 of the Investigatory Powers Act 2016.

(6) Until the repeal of Part 1 of the Regulation of Investigatory Powers Act 2000 by paragraphs 45 and 54 of Schedule 10 to the Investigatory Powers Act 2016 is fully in force, subsection (5) has effect as if it included a reference to that Part.

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## PART 4

### INTELLIGENCE SERVICES PROCESSING

VALID FROM 25/05/2018

## CHAPTER 1

### SCOPE AND DEFINITIONS

#### *Scope*

#### **82 Processing to which this Part applies**

- (1) This Part applies to—
  - (a) the processing by an intelligence service of personal data wholly or partly by automated means, and
  - (b) the processing by an intelligence service otherwise than by automated means of personal data which forms part of a filing system or is intended to form part of a filing system.
- (2) In this Part, “intelligence service” means—
  - (a) the Security Service;
  - (b) the Secret Intelligence Service;
  - (c) the Government Communications Headquarters.
- (3) A reference in this Part to the processing of personal data is to processing to which this Part applies.

#### *Definitions*

#### **83 Meaning of “controller” and “processor”**

- (1) In this Part, “controller” means the intelligence service which, alone or jointly with others—
  - (a) determines the purposes and means of the processing of personal data, or
  - (b) is the controller by virtue of subsection (2).
- (2) Where personal data is processed only—
  - (a) for purposes for which it is required by an enactment to be processed, and
  - (b) by means by which it is required by an enactment to be processed,
 the intelligence service on which the obligation to process the data is imposed by the enactment (or, if different, one of the enactments) is the controller.
- (3) In this Part, “processor” means any person who processes personal data on behalf of the controller (other than a person who is an employee of the controller).

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## 84 Other definitions

- (1) This section defines other expressions used in this Part.
- (2) “Consent”, in relation to the processing of personal data relating to an individual, means a freely given, specific, informed and unambiguous indication of the individual's wishes by which the individual, by a statement or by a clear affirmative action, signifies agreement to the processing of the personal data.
- (3) “Employee”, in relation to any person, includes an individual who holds a position (whether paid or unpaid) under the direction and control of that person.
- (4) “Personal data breach” means a breach of security leading to the accidental or unlawful destruction, loss, alteration, unauthorised disclosure of, or access to, personal data transmitted, stored or otherwise processed.
- (5) “Recipient”, in relation to any personal data, means any person to whom the data is disclosed, whether a third party or not, but it does not include a person to whom disclosure is or may be made in the framework of a particular inquiry in accordance with the law.
- (6) “Restriction of processing” means the marking of stored personal data with the aim of limiting its processing for the future.
- (7) Sections 3 and 205 include definitions of other expressions used in this Part.

## CHAPTER 2

### PRINCIPLES

VALID FROM 25/05/2018

#### Overview

## 85 Overview

- (1) This Chapter sets out the six data protection principles as follows—
  - (a) section 86 sets out the first data protection principle (requirement that processing be lawful, fair and transparent);
  - (b) section 87 sets out the second data protection principle (requirement that the purposes of processing be specified, explicit and legitimate);
  - (c) section 88 sets out the third data protection principle (requirement that personal data be adequate, relevant and not excessive);
  - (d) section 89 sets out the fourth data protection principle (requirement that personal data be accurate and kept up to date);
  - (e) section 90 sets out the fifth data protection principle (requirement that personal data be kept for no longer than is necessary);
  - (f) section 91 sets out the sixth data protection principle (requirement that personal data be processed in a secure manner).

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- (2) Each of sections 86, 87 and 91 makes provision to supplement the principle to which it relates.

### *The data protection principles*

## **86 The first data protection principle**

- (1) The first data protection principle is that the processing of personal data must be—
  - (a) lawful, and
  - (b) fair and transparent.
- (2) The processing of personal data is lawful only if and to the extent that—
  - (a) at least one of the conditions in Schedule 9 is met, and
  - (b) in the case of sensitive processing, at least one of the conditions in Schedule 10 is also met.
- (3) The Secretary of State may by regulations amend Schedule 10—
  - (a) by adding conditions;
  - (b) by omitting conditions added by regulations under paragraph (a).
- (4) Regulations under subsection (3) are subject to the affirmative resolution procedure.
- (5) In determining whether the processing of personal data is fair and transparent, regard is to be had to the method by which it is obtained.
- (6) For the purposes of subsection (5), data is to be treated as obtained fairly and transparently if it consists of information obtained from a person who—
  - (a) is authorised by an enactment to supply it, or
  - (b) is required to supply it by an enactment or by an international obligation of the United Kingdom.
- (7) In this section, “sensitive processing” means—
  - (a) the processing of personal data revealing racial or ethnic origin, political opinions, religious or philosophical beliefs or trade union membership;
  - (b) the processing of genetic data for the purpose of uniquely identifying an individual;
  - (c) the processing of biometric data for the purpose of uniquely identifying an individual;
  - (d) the processing of data concerning health;
  - (e) the processing of data concerning an individual's sex life or sexual orientation;
  - (f) the processing of personal data as to—
    - (i) the commission or alleged commission of an offence by an individual, or
    - (ii) proceedings for an offence committed or alleged to have been committed by an individual, the disposal of such proceedings or the sentence of a court in such proceedings.



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### Commencement Information

**I15** S. 86 in force at Royal Assent for specified purposes, see s. 212(2)(f)

VALID FROM 25/05/2018

### 87 The second data protection principle

- (1) The second data protection principle is that—
  - (a) the purpose for which personal data is collected on any occasion must be specified, explicit and legitimate, and
  - (b) personal data so collected must not be processed in a manner that is incompatible with the purpose for which it is collected.
- (2) Paragraph (b) of the second data protection principle is subject to subsections (3) and (4).
- (3) Personal data collected by a controller for one purpose may be processed for any other purpose of the controller that collected the data or any purpose of another controller provided that—
  - (a) the controller is authorised by law to process the data for that purpose, and
  - (b) the processing is necessary and proportionate to that other purpose.
- (4) Processing of personal data is to be regarded as compatible with the purpose for which it is collected if the processing—
  - (a) consists of—
    - (i) processing for archiving purposes in the public interest,
    - (ii) processing for the purposes of scientific or historical research, or
    - (iii) processing for statistical purposes, and
  - (b) is subject to appropriate safeguards for the rights and freedoms of the data subject.

VALID FROM 25/05/2018

### 88 The third data protection principle

The third data protection principle is that personal data must be adequate, relevant and not excessive in relation to the purpose for which it is processed.

VALID FROM 25/05/2018

### 89 The fourth data protection principle

The fourth data protection principle is that personal data undergoing processing must be accurate and, where necessary, kept up to date.

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VALID FROM 25/05/2018

**90 The fifth data protection principle**

The fifth data protection principle is that personal data must be kept for no longer than is necessary for the purpose for which it is processed.

VALID FROM 25/05/2018

**91 The sixth data protection principle**

- (1) The sixth data protection principle is that personal data must be processed in a manner that includes taking appropriate security measures as regards risks that arise from processing personal data.
- (2) The risks referred to in subsection (1) include (but are not limited to) accidental or unauthorised access to, or destruction, loss, use, modification or disclosure of, personal data.

## CHAPTER 3

### RIGHTS OF THE DATA SUBJECT

VALID FROM 25/05/2018

#### *Overview*

**92 Overview**

- (1) This Chapter sets out the rights of the data subject as follows—
  - (a) section 93 deals with the information to be made available to the data subject;
  - (b) sections 94 and 95 deal with the right of access by the data subject;
  - (c) sections 96 and 97 deal with rights in relation to automated processing;
  - (d) section 98 deals with the right to information about decision-making;
  - (e) section 99 deals with the right to object to processing;
  - (f) section 100 deals with rights to rectification and erasure of personal data.
- (2) In this Chapter, “the controller”, in relation to a data subject, means the controller in relation to personal data relating to the data subject.

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## Rights

VALID FROM 16/09/2019

### 93 Right to information

- (1) The controller must give a data subject the following information—
  - (a) the identity and the contact details of the controller;
  - (b) the legal basis on which, and the purposes for which, the controller processes personal data;
  - (c) the categories of personal data relating to the data subject that are being processed;
  - (d) the recipients or the categories of recipients of the personal data (if applicable);
  - (e) the right to lodge a complaint with the Commissioner and the contact details of the Commissioner;
  - (f) how to exercise rights under this Chapter;
  - (g) any other information needed to secure that the personal data is processed fairly and transparently.
- (2) The controller may comply with subsection (1) by making information generally available, where the controller considers it appropriate to do so.
- (3) The controller is not required under subsection (1) to give a data subject information that the data subject already has.
- (4) Where personal data relating to a data subject is collected by or on behalf of the controller from a person other than the data subject, the requirement in subsection (1) has effect, in relation to the personal data so collected, with the following exceptions—
  - (a) the requirement does not apply in relation to processing that is authorised by an enactment;
  - (b) the requirement does not apply in relation to the data subject if giving the information to the data subject would be impossible or involve disproportionate effort.

### 94 Right of access

- (1) An individual is entitled to obtain from a controller—
  - (a) confirmation as to whether or not personal data concerning the individual is being processed, and
  - (b) where that is the case—
    - (i) communication, in intelligible form, of the personal data of which that individual is the data subject, and
    - (ii) the information set out in subsection (2).
- (2) That information is—
  - (a) the purposes of and legal basis for the processing;
  - (b) the categories of personal data concerned;

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- (c) the recipients or categories of recipients to whom the personal data has been disclosed;
  - (d) the period for which the personal data is to be preserved;
  - (e) the existence of a data subject's rights to rectification and erasure of personal data (see section 100);
  - (f) the right to lodge a complaint with the Commissioner and the contact details of the Commissioner;
  - (g) any information about the origin of the personal data concerned.
- (3) A controller is not obliged to provide information under this section unless the controller has received such reasonable fee as the controller may require, subject to subsection (4).
- (4) The Secretary of State may by regulations—
- (a) specify cases in which a controller may not charge a fee;
  - (b) specify the maximum amount of a fee.
- (5) Where a controller—
- (a) reasonably requires further information—
    - (i) in order that the controller be satisfied as to the identity of the individual making a request under subsection (1), or
    - (ii) to locate the information which that individual seeks, and
  - (b) has informed that individual of that requirement,
- the controller is not obliged to comply with the request unless the controller is supplied with that further information.
- (6) Where a controller cannot comply with the request without disclosing information relating to another individual who can be identified from that information, the controller is not obliged to comply with the request unless—
- (a) the other individual has consented to the disclosure of the information to the individual making the request, or
  - (b) it is reasonable in all the circumstances to comply with the request without the consent of the other individual.
- (7) In subsection (6), the reference to information relating to another individual includes a reference to information identifying that individual as the source of the information sought by the request.
- (8) Subsection (6) is not to be construed as excusing a controller from communicating so much of the information sought by the request as can be communicated without disclosing the identity of the other individual concerned, whether by the omission of names or other identifying particulars or otherwise.
- (9) In determining for the purposes of subsection (6)(b) whether it is reasonable in all the circumstances to comply with the request without the consent of the other individual concerned, regard must be had, in particular, to—
- (a) any duty of confidentiality owed to the other individual,
  - (b) any steps taken by the controller with a view to seeking the consent of the other individual,
  - (c) whether the other individual is capable of giving consent, and
  - (d) any express refusal of consent by the other individual.

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- (10) Subject to subsection (6), a controller must comply with a request under subsection (1) —
- (a) promptly, and
  - (b) in any event before the end of the applicable time period.
- (11) If a court is satisfied on the application of an individual who has made a request under subsection (1) that the controller in question has failed to comply with the request in contravention of this section, the court may order the controller to comply with the request.
- (12) A court may make an order under subsection (11) in relation to a joint controller whose responsibilities are determined in an arrangement under section 104 only if the controller is responsible for compliance with the obligation to which the order relates.
- (13) The jurisdiction conferred on a court by this section is exercisable by the High Court or, in Scotland, by the Court of Session.
- (14) In this section—
- “the applicable time period” means—
    - (a) the period of 1 month, or
    - (b) such longer period, not exceeding 3 months, as may be specified in regulations made by the Secretary of State,
      - beginning with the relevant time;
  - “the relevant time”, in relation to a request under subsection (1), means the latest of the following—
    - (a) when the controller receives the request,
    - (b) when the fee (if any) is paid, and
    - (c) when the controller receives the information (if any) required under subsection (5) in connection with the request.
- (15) Regulations under this section are subject to the negative resolution procedure.

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**Commencement Information**

**I16** S. 94 in force at Royal Assent for specified purposes, see s. 212(2)(f)

VALID FROM 25/05/2018

**95 Right of access: supplementary**

- (1) The controller must comply with the obligation imposed by section 94(1)(b)(i) by supplying the data subject with a copy of the information in writing unless—
- (a) the supply of such a copy is not possible or would involve disproportionate effort, or
  - (b) the data subject agrees otherwise;
- and where any of the information referred to in section 94(1)(b)(i) is expressed in terms which are not intelligible without explanation the copy must be accompanied by an explanation of those terms.

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- (2) Where a controller has previously complied with a request made under section 94 by an individual, the controller is not obliged to comply with a subsequent identical or similar request under that section by that individual unless a reasonable interval has elapsed between compliance with the previous request and the making of the current request.
- (3) In determining for the purposes of subsection (2) whether requests under section 94 are made at reasonable intervals, regard must be had to—
  - (a) the nature of the data,
  - (b) the purpose for which the data is processed, and
  - (c) the frequency with which the data is altered.
- (4) The information to be supplied pursuant to a request under section 94 must be supplied by reference to the data in question at the time when the request is received, except that it may take account of any amendment or deletion made between that time and the time when the information is supplied, being an amendment or deletion that would have been made regardless of the receipt of the request.
- (5) For the purposes of section 94(6) to (8), an individual can be identified from information to be disclosed to a data subject by a controller if the individual can be identified from—
  - (a) that information, or
  - (b) that and any other information that the controller reasonably believes the data subject making the request is likely to possess or obtain.

VALID FROM 25/05/2018

## **96 Right not to be subject to automated decision-making**

- (1) The controller may not take a decision significantly affecting a data subject that is based solely on automated processing of personal data relating to the data subject.
- (2) Subsection (1) does not prevent such a decision being made on that basis if—
  - (a) the decision is required or authorised by law,
  - (b) the data subject has given consent to the decision being made on that basis, or
  - (c) the decision is a decision taken in the course of steps taken—
    - (i) for the purpose of considering whether to enter into a contract with the data subject,
    - (ii) with a view to entering into such a contract, or
    - (iii) in the course of performing such a contract.
- (3) For the purposes of this section, a decision that has legal effects as regards an individual is to be regarded as significantly affecting the individual.

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VALID FROM 25/05/2018

## 97 Right to intervene in automated decision-making

- (1) This section applies where—
  - (a) the controller takes a decision significantly affecting a data subject that is based solely on automated processing of personal data relating to the data subject, and
  - (b) the decision is required or authorised by law.
- (2) This section does not apply to such a decision if—
  - (a) the data subject has given consent to the decision being made on that basis, or
  - (b) the decision is a decision taken in the course of steps taken—
    - (i) for the purpose of considering whether to enter into a contract with the data subject,
    - (ii) with a view to entering into such a contract, or
    - (iii) in the course of performing such a contract.
- (3) The controller must as soon as reasonably practicable notify the data subject that such a decision has been made.
- (4) The data subject may, before the end of the period of 1 month beginning with receipt of the notification, request the controller—
  - (a) to reconsider the decision, or
  - (b) to take a new decision that is not based solely on automated processing.
- (5) If a request is made to the controller under subsection (4), the controller must, before the end of the period of 1 month beginning with receipt of the request—
  - (a) consider the request, including any information provided by the data subject that is relevant to it, and
  - (b) by notice in writing inform the data subject of the outcome of that consideration.
- (6) For the purposes of this section, a decision that has legal effects as regards an individual is to be regarded as significantly affecting the individual.

VALID FROM 25/05/2018

## 98 Right to information about decision-making

- (1) Where—
  - (a) the controller processes personal data relating to a data subject, and
  - (b) results produced by the processing are applied to the data subject,the data subject is entitled to obtain from the controller, on request, knowledge of the reasoning underlying the processing.
- (2) Where the data subject makes a request under subsection (1), the controller must comply with the request without undue delay.

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VALID FROM 25/05/2018

## 99 Right to object to processing

- (1) A data subject is entitled at any time, by notice given to the controller, to require the controller—
  - (a) not to process personal data relating to the data subject, or
  - (b) not to process such data for a specified purpose or in a specified manner,
 on the ground that, for specified reasons relating to the situation of the data subject, the processing in question is an unwarranted interference with the interests or rights of the data subject.
- (2) Where the controller—
  - (a) reasonably requires further information—
    - (i) in order that the controller be satisfied as to the identity of the individual giving notice under subsection (1), or
    - (ii) to locate the data to which the notice relates, and
  - (b) has informed that individual of that requirement,
 the controller is not obliged to comply with the notice unless the controller is supplied with that further information.
- (3) The controller must, before the end of 21 days beginning with the relevant time, give a notice to the data subject—
  - (a) stating that the controller has complied or intends to comply with the notice under subsection (1), or
  - (b) stating the controller's reasons for not complying with the notice to any extent and the extent (if any) to which the controller has complied or intends to comply with the notice under subsection (1).
- (4) If the controller does not comply with a notice under subsection (1) to any extent, the data subject may apply to a court for an order that the controller take steps for complying with the notice.
- (5) If the court is satisfied that the controller should comply with the notice (or should comply to any extent), the court may order the controller to take such steps for complying with the notice (or for complying with it to that extent) as the court thinks fit.
- (6) A court may make an order under subsection (5) in relation to a joint controller whose responsibilities are determined in an arrangement under section 104 only if the controller is responsible for compliance with the obligation to which the order relates.
- (7) The jurisdiction conferred on a court by this section is exercisable by the High Court or, in Scotland, by the Court of Session.
- (8) In this section, “the relevant time”, in relation to a notice under subsection (1), means—
  - (a) when the controller receives the notice, or
  - (b) if later, when the controller receives the information (if any) required under subsection (2) in connection with the notice.



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VALID FROM 25/05/2018

## 100 Rights to rectification and erasure

- (1) If a court is satisfied on the application of a data subject that personal data relating to the data subject is inaccurate, the court may order the controller to rectify that data without undue delay.
- (2) If a court is satisfied on the application of a data subject that the processing of personal data relating to the data subject would infringe any of sections 86 to 91, the court may order the controller to erase that data without undue delay.
- (3) If personal data relating to the data subject must be maintained for the purposes of evidence, the court may (instead of ordering the controller to rectify or erase the personal data) order the controller to restrict its processing without undue delay.
- (4) If—
  - (a) the data subject contests the accuracy of personal data, and
  - (b) the court is satisfied that the controller is not able to ascertain whether the data is accurate or not,the court may (instead of ordering the controller to rectify or erase the personal data) order the controller to restrict its processing without undue delay.
- (5) A court may make an order under this section in relation to a joint controller whose responsibilities are determined in an arrangement under section 104 only if the controller is responsible for carrying out the rectification, erasure or restriction of processing that the court proposes to order.
- (6) The jurisdiction conferred on a court by this section is exercisable by the High Court or, in Scotland, by the Court of Session.

VALID FROM 25/05/2018

## CHAPTER 4

### CONTROLLER AND PROCESSOR

#### *Overview*

## 101 Overview

This Chapter sets out—

- (a) the general obligations of controllers and processors (see sections 102 to 106);
- (b) specific obligations of controllers and processors with respect to security (see section 107);
- (c) specific obligations of controllers and processors with respect to personal data breaches (see section 108).

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### General obligations

VALID FROM 16/09/2019

#### **102 General obligations of the controller**

Each controller must implement appropriate measures—

- (a) to ensure, and
  - (b) to be able to demonstrate, in particular to the Commissioner,
- that the processing of personal data complies with the requirements of this Part.

VALID FROM 16/09/2019

#### **103 Data protection by design**

- (1) Where a controller proposes that a particular type of processing of personal data be carried out by or on behalf of the controller, the controller must, prior to the processing, consider the impact of the proposed processing on the rights and freedoms of data subjects.
- (2) A controller must implement appropriate technical and organisational measures which are designed to ensure that—
  - (a) the data protection principles are implemented, and
  - (b) risks to the rights and freedoms of data subjects are minimised.

VALID FROM 16/09/2019

#### **104 Joint controllers**

- (1) Where two or more intelligence services jointly determine the purposes and means of processing personal data, they are joint controllers for the purposes of this Part.
- (2) Joint controllers must, in a transparent manner, determine their respective responsibilities for compliance with this Part by means of an arrangement between them, except to the extent that those responsibilities are determined under or by virtue of an enactment.
- (3) The arrangement must designate the controller which is to be the contact point for data subjects.

VALID FROM 16/09/2019

#### **105 Processors**

- (1) This section applies to the use by a controller of a processor to carry out processing of personal data on behalf of the controller.

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- (2) The controller may use only a processor who undertakes—
  - (a) to implement appropriate measures that are sufficient to secure that the processing complies with this Part;
  - (b) to provide to the controller such information as is necessary for demonstrating that the processing complies with this Part.
- (3) If a processor determines, in breach of this Part, the purposes and means of processing, the processor is to be treated for the purposes of this Part as a controller in respect of that processing.

#### **106 Processing under the authority of the controller or processor**

A processor, and any person acting under the authority of a controller or processor, who has access to personal data may not process the data except—

- (a) on instructions from the controller, or
- (b) to comply with a legal obligation.

*Obligations relating to security*

#### **107 Security of processing**

- (1) Each controller and each processor must implement security measures appropriate to the risks arising from the processing of personal data.
- (2) In the case of automated processing, each controller and each processor must, following an evaluation of the risks, implement measures designed to—
  - (a) prevent unauthorised processing or unauthorised interference with the systems used in connection with it,
  - (b) ensure that it is possible to establish the precise details of any processing that takes place,
  - (c) ensure that any systems used in connection with the processing function properly and may, in the case of interruption, be restored, and
  - (d) ensure that stored personal data cannot be corrupted if a system used in connection with the processing malfunctions.

VALID FROM 16/09/2019

*Obligations relating to personal data breaches*

#### **108 Communication of a personal data breach**

- (1) If a controller becomes aware of a serious personal data breach in relation to personal data for which the controller is responsible, the controller must notify the Commissioner of the breach without undue delay.
- (2) Where the notification to the Commissioner is not made within 72 hours, the notification must be accompanied by reasons for the delay.
- (3) Subject to subsection (4), the notification must include—

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- (a) a description of 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;
  - (b) the name and contact details of the contact point from whom more information can be obtained;
  - (c) a description of the likely consequences of the personal data breach;
  - (d) a description of the measures taken or proposed to be taken by the controller to address the personal data breach, including, where appropriate, measures to mitigate its possible adverse effects.
- (4) Where and to the extent that it is not possible to provide all the information mentioned in subsection (3) at the same time, the information may be provided in phases without undue further delay.
- (5) If a processor becomes aware of a personal data breach (in relation to data processed by the processor), the processor must notify the controller without undue delay.
- (6) Subsection (1) does not apply in relation to a personal data breach if the breach also constitutes a relevant error within the meaning given by section 231(9) of the Investigatory Powers Act 2016.
- (7) For the purposes of this section, a personal data breach is serious if the breach seriously interferes with the rights and freedoms of a data subject.

VALID FROM 25/05/2018

## CHAPTER 5

### TRANSFERS OF PERSONAL DATA OUTSIDE THE UNITED KINGDOM

#### **109 Transfers of personal data outside the United Kingdom**

- (1) A controller may not transfer personal data to—
- (a) a country or territory outside the United Kingdom, or
  - (b) an international organisation,
- unless the transfer falls within subsection (2).
- (2) A transfer of personal data falls within this subsection if the transfer is a necessary and proportionate measure carried out—
- (a) for the purposes of the controller's statutory functions, or
  - (b) for other purposes provided for, in relation to the controller, in section 2(2) (a) of the Security Service Act 1989 or section 2(2)(a) or 4(2)(a) of the Intelligence Services Act 1994.

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## CHAPTER 6

### EXEMPTIONS

VALID FROM 25/05/2018

#### 110 National security

- (1) A provision mentioned in subsection (2) does not apply to personal data to which this Part applies if exemption from the provision is required for the purpose of safeguarding national security.
- (2) The provisions are—
  - (a) Chapter 2 (the data protection principles), except section 86(1)(a) and (2) and Schedules 9 and 10;
  - (b) Chapter 3 (rights of data subjects);
  - (c) in Chapter 4, section 108 (communication of a personal data breach to the Commissioner);
  - (d) in Part 5—
    - (i) section 119 (inspection in accordance with international obligations);
    - (ii) in Schedule 13 (other general functions of the Commissioner), paragraphs 1(a) and (g) and 2;
  - (e) in Part 6—
    - (i) sections 142 to 154 and Schedule 15 (Commissioner's notices and powers of entry and inspection);
    - (ii) sections 170 to 173 (offences relating to personal data);
    - (iii) sections 174 to 176 (provision relating to the special purposes).

VALID FROM 25/05/2018

#### 111 National security: certificate

- (1) Subject to subsection (3), a certificate signed by a Minister of the Crown certifying that exemption from all or any of the provisions mentioned in section 110(2) is, or at any time was, required for the purpose of safeguarding national security in respect of any personal data is conclusive evidence of that fact.
- (2) A certificate under subsection (1)—
  - (a) may identify the personal data to which it applies by means of a general description, and
  - (b) may be expressed to have prospective effect.
- (3) Any person directly affected by the issuing of a certificate under subsection (1) may appeal to the Tribunal against the certificate.
- (4) If on an appeal under subsection (3), the Tribunal finds that, applying the principles applied by a court on an application for judicial review, the Minister did not have reasonable grounds for issuing the certificate, the Tribunal may—

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- (a) allow the appeal, and
  - (b) quash the certificate.
- (5) Where, in any proceedings under or by virtue of this Act, it is claimed by a controller that a certificate under subsection (1) which identifies the personal data to which it applies by means of a general description applies to any personal data, another party to the proceedings may appeal to the Tribunal on the ground that the certificate does not apply to the personal data in question.
- (6) But, subject to any determination under subsection (7), the certificate is to be conclusively presumed so to apply.
- (7) On an appeal under subsection (5), the Tribunal may determine that the certificate does not so apply.
- (8) A document purporting to be a certificate under subsection (1) is to be—
- (a) received in evidence, and
  - (b) deemed to be such a certificate unless the contrary is proved.
- (9) A document which purports to be certified by or on behalf of a Minister of the Crown as a true copy of a certificate issued by that Minister under subsection (1) is—
- (a) in any legal proceedings, evidence of that certificate, and
  - (b) in any legal proceedings in Scotland, sufficient evidence of that certificate.
- (10) The power conferred by subsection (1) on a Minister of the Crown is exercisable only by—
- (a) a Minister who is a member of the Cabinet, or
  - (b) the Attorney General or the Advocate General for Scotland.

VALID FROM 25/05/2018

## 112 Other exemptions

Schedule 11 provides for further exemptions.

## 113 Power to make further exemptions

- (1) The Secretary of State may by regulations amend Schedule 11—
- (a) by adding exemptions from any provision of this Part;
  - (b) by omitting exemptions added by regulations under paragraph (a).
- (2) Regulations under this section are subject to the affirmative resolution procedure.

### Commencement Information

**I17** S. 113 in force at Royal Assent for specified purposes, see s. 212(2)(f)

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## PART 5

### THE INFORMATION COMMISSIONER

VALID FROM 25/05/2018

#### *The Commissioner*

#### **114 The Information Commissioner**

- (1) There is to continue to be an Information Commissioner.
- (2) Schedule 12 makes provision about the Commissioner.

VALID FROM 25/05/2018

#### *General functions*

#### **115 General functions under the GDPR and safeguards**

- (1) The Commissioner is to be the supervisory authority in the United Kingdom for the purposes of Article 51 of the GDPR.
- (2) General functions are conferred on the Commissioner by—
  - (a) Article 57 of the GDPR (tasks), and
  - (b) Article 58 of the GDPR (powers),(and see also the Commissioner's duty under section 2).
- (3) The Commissioner's functions in relation to the processing of personal data to which the GDPR applies include—
  - (a) a duty to advise Parliament, the government and other institutions and bodies on legislative and administrative measures relating to the protection of individuals' rights and freedoms with regard to the processing of personal data, and
  - (b) a power to issue, on the Commissioner's own initiative or on request, opinions to Parliament, the government or other institutions and bodies as well as to the public on any issue related to the protection of personal data.
- (4) The Commissioner's functions under Article 58 of the GDPR are subject to the safeguards in subsections (5) to (9).
- (5) The Commissioner's power under Article 58(1)(a) of the GDPR (power to require a controller or processor to provide information that the Commissioner requires for the performance of the Commissioner's tasks under the GDPR) is exercisable only by giving an information notice under section 142.
- (6) The Commissioner's power under Article 58(1)(b) of the GDPR (power to carry out data protection audits) is exercisable only in accordance with section 146.

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- (7) The Commissioner's powers under Article 58(1)(e) and (f) of the GDPR (power to obtain information from controllers and processors and access to their premises) are exercisable only—
  - (a) in accordance with Schedule 15 (see section 154), or
  - (b) to the extent that they are exercised in conjunction with the power under Article 58(1)(b) of the GDPR, in accordance with section 146.
- (8) The following powers are exercisable only by giving an enforcement notice under section 149—
  - (a) the Commissioner's powers under Article 58(2)(c) to (g) and (j) of the GDPR (certain corrective powers);
  - (b) the Commissioner's powers under Article 58(2)(h) to order a certification body to withdraw, or not to issue, a certification under Articles 42 and 43 of the GDPR.
- (9) The Commissioner's powers under Articles 58(2)(i) and 83 of the GDPR (administrative fines) are exercisable only by giving a penalty notice under section 155.
- (10) This section is without prejudice to other functions conferred on the Commissioner, whether by the GDPR, this Act or otherwise.

#### **116 Other general functions**

- (1) The Commissioner—
  - (a) is to be the supervisory authority in the United Kingdom for the purposes of Article 41 of the Law Enforcement Directive, and
  - (b) is to continue to be the designated authority in the United Kingdom for the purposes of Article 13 of the Data Protection Convention.
- (2) Schedule 13 confers general functions on the Commissioner in connection with processing to which the GDPR does not apply (and see also the Commissioner's duty under section 2).
- (3) This section and Schedule 13 are without prejudice to other functions conferred on the Commissioner, whether by this Act or otherwise.

#### **117 Competence in relation to courts etc**

Nothing in this Act permits or requires the Commissioner to exercise functions in relation to the processing of personal data by—

- (a) an individual acting in a judicial capacity, or
  - (b) a court or tribunal acting in its judicial capacity,
- (and see also Article 55(3) of the GDPR).



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VALID FROM 25/05/2018

### *International role*

#### **118 Co-operation and mutual assistance**

- (1) Articles 60 to 62 of the GDPR confer functions on the Commissioner in relation to co-operation and mutual assistance between, and joint operations of, supervisory authorities under the GDPR.
- (2) References to the GDPR in subsection (1) do not include the applied GDPR.
- (3) Article 61 of the applied GDPR confers functions on the Commissioner in relation to co-operation with other supervisory authorities (as defined in Article 4(21) of the applied GDPR).
- (4) Part 1 of Schedule 14 makes provision as to the functions to be carried out by the Commissioner for the purposes of Article 50 of the Law Enforcement Directive (mutual assistance).
- (5) Part 2 of Schedule 14 makes provision as to the functions to be carried out by the Commissioner for the purposes of Article 13 of the Data Protection Convention (co-operation between parties).

#### **119 Inspection of personal data in accordance with international obligations**

- (1) The Commissioner may inspect personal data where the inspection is necessary in order to discharge an international obligation of the United Kingdom, subject to the restriction in subsection (2).
- (2) The power under subsection (1) is exercisable only if the personal data—
  - (a) is processed wholly or partly by automated means, or
  - (b) is processed otherwise than by automated means and forms part of a filing system or is intended to form part of a filing system.
- (3) The power under subsection (1) includes power to inspect, operate and test equipment which is used for the processing of personal data.
- (4) Before exercising the power under subsection (1), the Commissioner must by written notice inform the controller and any processor that the Commissioner intends to do so.
- (5) Subsection (4) does not apply if the Commissioner considers that the case is urgent.
- (6) It is an offence—
  - (a) intentionally to obstruct a person exercising the power under subsection (1), or
  - (b) to fail without reasonable excuse to give a person exercising that power any assistance the person may reasonably require.
- (7) Paragraphs (c) and (d) of section 3(14) do not apply to references in this section to personal data, the processing of personal data, a controller or a processor.

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## **120 Further international role**

- (1) The Commissioner must, in relation to third countries and international organisations, take appropriate steps to—
  - (a) develop international co-operation mechanisms to facilitate the effective enforcement of legislation for the protection of personal data;
  - (b) provide international mutual assistance in the enforcement of legislation for the protection of personal data, subject to appropriate safeguards for the protection of personal data and other fundamental rights and freedoms;
  - (c) engage relevant stakeholders in discussion and activities aimed at furthering international co-operation in the enforcement of legislation for the protection of personal data;
  - (d) promote the exchange and documentation of legislation and practice for the protection of personal data, including legislation and practice relating to jurisdictional conflicts with third countries.
- (2) Subsection (1) applies only in connection with the processing of personal data to which the GDPR does not apply; for the equivalent duty in connection with the processing of personal data to which the GDPR applies, see Article 50 of the GDPR (international co-operation for the protection of personal data).
- (3) The Commissioner must carry out data protection functions which the Secretary of State directs the Commissioner to carry out for the purpose of enabling Her Majesty's Government in the United Kingdom to give effect to an international obligation of the United Kingdom.
- (4) The Commissioner may provide an authority carrying out data protection functions under the law of a British overseas territory with assistance in carrying out those functions.
- (5) The Secretary of State may direct that assistance under subsection (4) is to be provided on terms, including terms as to payment, specified or approved by the Secretary of State.
- (6) In this section—
  - “data protection functions” means functions relating to the protection of individuals with respect to the processing of personal data;
  - “mutual assistance in the enforcement of legislation for the protection of personal data” includes assistance in the form of notification, complaint referral, investigative assistance and information exchange;
  - “third country” means a country or territory that is not a member State.
- (7) Section 3(14)(c) does not apply to references to personal data and the processing of personal data in this section.

### *Codes of practice*

VALID FROM 25/05/2018

## **121 Data-sharing code**

- (1) The Commissioner must prepare a code of practice which contains—

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- (a) practical guidance in relation to the sharing of personal data in accordance with the requirements of the data protection legislation, and
  - (b) such other guidance as the Commissioner considers appropriate to promote good practice in the sharing of personal data.
- (2) Where a code under this section is in force, the Commissioner may prepare amendments of the code or a replacement code.
- (3) Before preparing a code or amendments under this section, the Commissioner must consult the Secretary of State and such of the following as the Commissioner considers appropriate—
  - (a) trade associations;
  - (b) data subjects;
  - (c) persons who appear to the Commissioner to represent the interests of data subjects.
- (4) A code under this section may include transitional provision or savings.
- (5) In this section—
  - “good practice in the sharing of personal data” means such practice in the sharing of personal data as appears to the Commissioner to be desirable having regard to the interests of data subjects and others, including compliance with the requirements of the data protection legislation;
  - “the sharing of personal data” means the disclosure of personal data by transmission, dissemination or otherwise making it available;
  - “trade association” includes a body representing controllers or processors.

VALID FROM 25/05/2018

## **122 Direct marketing code**

- (1) The Commissioner must prepare a code of practice which contains—
  - (a) practical guidance in relation to the carrying out of direct marketing in accordance with the requirements of the data protection legislation and the Privacy and Electronic Communications (EC Directive) Regulations 2003 (S.I. 2003/2426), and
  - (b) such other guidance as the Commissioner considers appropriate to promote good practice in direct marketing.
- (2) Where a code under this section is in force, the Commissioner may prepare amendments of the code or a replacement code.
- (3) Before preparing a code or amendments under this section, the Commissioner must consult the Secretary of State and such of the following as the Commissioner considers appropriate—
  - (a) trade associations;
  - (b) data subjects;
  - (c) persons who appear to the Commissioner to represent the interests of data subjects.
- (4) A code under this section may include transitional provision or savings.

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(5) In this section—

“direct marketing” means the communication (by whatever means) of advertising or marketing material which is directed to particular individuals;

“good practice in direct marketing” means such practice in direct marketing as appears to the Commissioner to be desirable having regard to the interests of data subjects and others, including compliance with the requirements mentioned in subsection (1)(a);

“trade association” includes a body representing controllers or processors.

VALID FROM 23/07/2018

### 123 Age-appropriate design code

- (1) The Commissioner must prepare a code of practice which contains such guidance as the Commissioner considers appropriate on standards of age-appropriate design of relevant information society services which are likely to be accessed by children.
- (2) Where a code under this section is in force, the Commissioner may prepare amendments of the code or a replacement code.
- (3) Before preparing a code or amendments under this section, the Commissioner must consult the Secretary of State and such other persons as the Commissioner considers appropriate, including—
  - (a) children,
  - (b) parents,
  - (c) persons who appear to the Commissioner to represent the interests of children,
  - (d) child development experts, and
  - (e) trade associations.
- (4) In preparing a code or amendments under this section, the Commissioner must have regard—
  - (a) to the fact that children have different needs at different ages, and
  - (b) to the United Kingdom's obligations under the United Nations Convention on the Rights of the Child.
- (5) A code under this section may include transitional provision or savings.
- (6) Any transitional provision included in the first code under this section must cease to have effect before the end of the period of 12 months beginning when the code comes into force.
- (7) In this section—
 

“age-appropriate design” means the design of services so that they are appropriate for use by, and meet the development needs of, children;

“information society services” has the same meaning as in the GDPR, but does not include preventive or counselling services;

“relevant information society services” means information society services which involve the processing of personal data to which the GDPR applies;

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“standards of age-appropriate design of relevant information society services” means such standards of age-appropriate design of such services as appear to the Commissioner to be desirable having regard to the best interests of children;

“trade association” includes a body representing controllers or processors;

“the United Nations Convention on the Rights of the Child” means the Convention on the Rights of the Child adopted by the General Assembly of the United Nations on 20 November 1989 (including any Protocols to that Convention which are in force in relation to the United Kingdom), subject to any reservations, objections or interpretative declarations by the United Kingdom for the time being in force.

VALID FROM 23/07/2018

#### 124 Data protection and journalism code

- (1) The Commissioner must prepare a code of practice which contains—
  - (a) practical guidance in relation to the processing of personal data for the purposes of journalism in accordance with the requirements of the data protection legislation, and
  - (b) such other guidance as the Commissioner considers appropriate to promote good practice in the processing of personal data for the purposes of journalism.
- (2) Where a code under this section is in force, the Commissioner may prepare amendments of the code or a replacement code.
- (3) Before preparing a code or amendments under this section, the Commissioner must consult such of the following as the Commissioner considers appropriate—
  - (a) trade associations;
  - (b) data subjects;
  - (c) persons who appear to the Commissioner to represent the interests of data subjects.
- (4) A code under this section may include transitional provision or savings.
- (5) In this section—

“good practice in the processing of personal data for the purposes of journalism” means such practice in the processing of personal data for those purposes as appears to the Commissioner to be desirable having regard to—

  - (a) the interests of data subjects and others, including compliance with the requirements of the data protection legislation, and
  - (b) the special importance of the public interest in the freedom of expression and information;

“trade association” includes a body representing controllers or processors.

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VALID FROM 23/07/2018

## 125 Approval of codes prepared under sections 121 to 124

- (1) When a code is prepared under section 121, 122, 123 or 124—
  - (a) the Commissioner must submit the final version to the Secretary of State, and
  - (b) the Secretary of State must lay the code before Parliament.
- (2) In relation to the first code under section 123—
  - (a) the Commissioner must prepare the code as soon as reasonably practicable and must submit it to the Secretary of State before the end of the period of 18 months beginning when this Act is passed, and
  - (b) the Secretary of State must lay it before Parliament as soon as reasonably practicable.
- (3) If, within the 40-day period, either House of Parliament resolves not to approve a code prepared under section 121, 122, 123 or 124, the Commissioner must not issue the code.
- (4) If no such resolution is made within that period—
  - (a) the Commissioner must issue the code, and
  - (b) the code comes into force at the end of the period of 21 days beginning with the day on which it is issued.
- (5) If, as a result of subsection (3), there is no code in force under section 121, 122, 123 or 124, the Commissioner must prepare another version of the code.
- (6) Nothing in subsection (3) prevents another version of the code being laid before Parliament.
- (7) In this section, “the 40-day period” means—
  - (a) if the code is laid before both Houses of Parliament on the same day, the period of 40 days beginning with that day, or
  - (b) if the code is laid before the Houses of Parliament on different days, the period of 40 days beginning with the later of those days.
- (8) In calculating the 40-day period, no account is to be taken of any period during which Parliament is dissolved or prorogued or during which both Houses of Parliament are adjourned for more than 4 days.
- (9) This section, other than subsections (2) and (5), applies in relation to amendments prepared under section 121, 122, 123 or 124 as it applies in relation to codes prepared under those sections.

### Commencement Information

**I18** S. 125 not in force at Royal Assent; s. 125 in force at 23.7.2018 for specified purposes, see s. 212(3)(b)

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VALID FROM 23/07/2018

## 126 Publication and review of codes issued under section 125(4)

- (1) The Commissioner must publish a code issued under section 125(4).
- (2) Where an amendment of a code is issued under section 125(4), the Commissioner must publish—
  - (a) the amendment, or
  - (b) the code as amended by it.
- (3) The Commissioner must keep under review each code issued under section 125(4) for the time being in force.
- (4) Where the Commissioner becomes aware that the terms of such a code could result in a breach of an international obligation of the United Kingdom, the Commissioner must exercise the power under section 121(2), 122(2), 123(2) or 124(2) with a view to remedying the situation.

### Commencement Information

**119** S. 126 not in force at Royal Assent; s. 126 in force at 23.7.2018 for specified purposes, see s. 212(3)(b)

VALID FROM 23/07/2018

## 127 Effect of codes issued under section 125(4)

- (1) A failure by a person to act in accordance with a provision of a code issued under section 125(4) does not of itself make that person liable to legal proceedings in a court or tribunal.
- (2) A code issued under section 125(4), including an amendment or replacement code, is admissible in evidence in legal proceedings.
- (3) In any proceedings before a court or tribunal, the court or tribunal must take into account a provision of a code issued under section 125(4) in determining a question arising in the proceedings if—
  - (a) the question relates to a time when the provision was in force, and
  - (b) the provision appears to the court or tribunal to be relevant to the question.
- (4) Where the Commissioner is carrying out a function described in subsection (5), the Commissioner must take into account a provision of a code issued under section 125(4) in determining a question arising in connection with the carrying out of the function if—
  - (a) the question relates to a time when the provision was in force, and
  - (b) the provision appears to the Commissioner to be relevant to the question.
- (5) Those functions are functions under—
  - (a) the data protection legislation, or

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- (b) the Privacy and Electronic Communications (EC Directive) Regulations 2003 (S.I. 2003/2426).

#### Commencement Information

**I20** S. 127 not in force at Royal Assent; s. 127 in force at 23.7.2018 for specified purposes, see s. 212(3)(b)

### 128 Other codes of practice

- (1) The Secretary of State may by regulations require the Commissioner—
  - (a) to prepare appropriate codes of practice giving guidance as to good practice in the processing of personal data, and
  - (b) to make them available to such persons as the Commissioner considers appropriate.
- (2) Before preparing such codes, the Commissioner must consult such of the following as the Commissioner considers appropriate—
  - (a) trade associations;
  - (b) data subjects;
  - (c) persons who appear to the Commissioner to represent the interests of data subjects.
- (3) Regulations under this section—
  - (a) must describe the personal data or processing to which the code of practice is to relate, and
  - (b) may describe the persons or classes of person to whom it is to relate.
- (4) Regulations under this section are subject to the negative resolution procedure.
- (5) In this section—
 

“good practice in the processing of personal data” means such practice in the processing of personal data as appears to the Commissioner to be desirable having regard to the interests of data subjects and others, including compliance with the requirements of the data protection legislation;

“trade association” includes a body representing controllers or processors.

#### Commencement Information

**I21** S. 128 in force at Royal Assent for specified purposes, see s. 212(2)(f)

VALID FROM 25/05/2018

### *Consensual audits*

### 129 Consensual audits

- (1) The Commissioner's functions under Article 58(1) of the GDPR and paragraph 1 of Schedule 13 include power, with the consent of a controller or processor, to carry out



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an assessment of whether the controller or processor is complying with good practice in the processing of personal data.

- (2) The Commissioner must inform the controller or processor of the results of such an assessment.
- (3) In this section, “good practice in the processing of personal data” has the same meaning as in section 128.

VALID FROM 25/05/2018

### *Records of national security certificates*

#### **130 Records of national security certificates**

- (1) A Minister of the Crown who issues a certificate under section 27, 79 or 111 must send a copy of the certificate to the Commissioner.
- (2) If the Commissioner receives a copy of a certificate under subsection (1), the Commissioner must publish a record of the certificate.
- (3) The record must contain—
  - (a) the name of the Minister who issued the certificate,
  - (b) the date on which the certificate was issued, and
  - (c) subject to subsection (4), the text of the certificate.
- (4) The Commissioner must not publish the text, or a part of the text, of the certificate if—
  - (a) the Minister determines that publishing the text or that part of the text—
    - (i) would be against the interests of national security,
    - (ii) would be contrary to the public interest, or
    - (iii) might jeopardise the safety of any person, and
  - (b) the Minister has notified the Commissioner of that determination.
- (5) The Commissioner must keep the record of the certificate available to the public while the certificate is in force.
- (6) If a Minister of the Crown revokes a certificate issued under section 27, 79 or 111, the Minister must notify the Commissioner.

VALID FROM 25/05/2018

### *Information provided to the Commissioner*

#### **131 Disclosure of information to the Commissioner**

- (1) No enactment or rule of law prohibiting or restricting the disclosure of information precludes a person from providing the Commissioner with information necessary for the discharge of the Commissioner’s functions.

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- (2) But this section does not authorise the making of a disclosure which is prohibited by any of Parts 1 to 7 or Chapter 1 of Part 9 of the Investigatory Powers Act 2016.
- (3) Until the repeal of Part 1 of the Regulation of Investigatory Powers Act 2000 by paragraphs 45 and 54 of Schedule 10 to the Investigatory Powers Act 2016 is fully in force, subsection (2) has effect as if it included a reference to that Part.

### **132 Confidentiality of information**

- (1) A person who is or has been the Commissioner, or a member of the Commissioner's staff or an agent of the Commissioner, must not disclose information which—
  - (a) has been obtained by, or provided to, the Commissioner in the course of, or for the purposes of, the discharging of the Commissioner's functions,
  - (b) relates to an identified or identifiable individual or business, and
  - (c) is not available to the public from other sources at the time of the disclosure and has not previously been available to the public from other sources,
 unless the disclosure is made with lawful authority.
- (2) For the purposes of subsection (1), a disclosure is made with lawful authority only if and to the extent that—
  - (a) the disclosure was made with the consent of the individual or of the person for the time being carrying on the business,
  - (b) the information was obtained or provided as described in subsection (1) (a) for the purpose of its being made available to the public (in whatever manner),
  - (c) the disclosure was made for the purposes of, and is necessary for, the discharge of one or more of the Commissioner's functions,
  - (d) the disclosure was made for the purposes of, and is necessary for, the discharge of an EU obligation,
  - (e) the disclosure was made for the purposes of criminal or civil proceedings, however arising, or
  - (f) having regard to the rights, freedoms and legitimate interests of any person, the disclosure was necessary in the public interest.
- (3) It is an offence for a person knowingly or recklessly to disclose information in contravention of subsection (1).

### **133 Guidance about privileged communications**

- (1) The Commissioner must produce and publish guidance about—
  - (a) how the Commissioner proposes to secure that privileged communications which the Commissioner obtains or has access to in the course of carrying out the Commissioner's functions are used or disclosed only so far as necessary for carrying out those functions, and
  - (b) how the Commissioner proposes to comply with restrictions and prohibitions on obtaining or having access to privileged communications which are imposed by an enactment.
- (2) The Commissioner—
  - (a) may alter or replace the guidance, and
  - (b) must publish any altered or replacement guidance.

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- (3) The Commissioner must consult the Secretary of State before publishing guidance under this section (including altered or replacement guidance).
- (4) The Commissioner must arrange for guidance under this section (including altered or replacement guidance) to be laid before Parliament.
- (5) In this section, “privileged communications” means—
  - (a) communications made—
    - (i) between a professional legal adviser and the adviser's client, and
    - (ii) in connection with the giving of legal advice to the client with respect to legal obligations, liabilities or rights, and
  - (b) communications made—
    - (i) between a professional legal adviser and the adviser's client or between such an adviser or client and another person,
    - (ii) in connection with or in contemplation of legal proceedings, and
    - (iii) for the purposes of such proceedings.
- (6) In subsection (5)—
  - (a) references to the client of a professional legal adviser include references to a person acting on behalf of the client, and
  - (b) references to a communication include—
    - (i) a copy or other record of the communication, and
    - (ii) anything enclosed with or referred to in the communication if made as described in subsection (5)(a)(ii) or in subsection (5)(b)(ii) and (iii).

VALID FROM 25/05/2018

## *Fees*

### **134 Fees for services**

The Commissioner may require a person other than a data subject or a data protection officer to pay a reasonable fee for a service provided to the person, or at the person's request, which the Commissioner is required or authorised to provide under the data protection legislation.

### **135 Manifestly unfounded or excessive requests by data subjects etc**

- (1) Where a request to the Commissioner from a data subject or a data protection officer is manifestly unfounded or excessive, the Commissioner may—
  - (a) charge a reasonable fee for dealing with the request, or
  - (b) refuse to act on the request.
- (2) An example of a request that may be excessive is one that merely repeats the substance of previous requests.

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- (3) In any proceedings where there is an issue as to whether a request described in subsection (1) is manifestly unfounded or excessive, it is for the Commissioner to show that it is.
- (4) Subsections (1) and (3) apply only in cases in which the Commissioner does not already have such powers and obligations under Article 57(4) of the GDPR.

### **136 Guidance about fees**

- (1) The Commissioner must produce and publish guidance about the fees the Commissioner proposes to charge in accordance with—
  - (a) section 134 or 135, or
  - (b) Article 57(4) of the GDPR.
- (2) Before publishing the guidance, the Commissioner must consult the Secretary of State.

## *Charges*

### **137 Charges payable to the Commissioner by controllers**

- (1) The Secretary of State may by regulations require controllers to pay charges of an amount specified in the regulations to the Commissioner.
- (2) Regulations under subsection (1) may require a controller to pay a charge regardless of whether the Commissioner has provided, or proposes to provide, a service to the controller.
- (3) Regulations under subsection (1) may—
  - (a) make provision about the time or times at which, or period or periods within which, a charge must be paid;
  - (b) make provision for cases in which a discounted charge is payable;
  - (c) make provision for cases in which no charge is payable;
  - (d) make provision for cases in which a charge which has been paid is to be refunded.
- (4) In making regulations under subsection (1), the Secretary of State must have regard to the desirability of securing that the charges payable to the Commissioner under such regulations are sufficient to offset—
  - (a) expenses incurred by the Commissioner in discharging the Commissioner's functions—
    - (i) under the data protection legislation,
    - (ii) under the Data Protection Act 1998,
    - (iii) under or by virtue of sections 108 and 109 of the Digital Economy Act 2017, and
    - (iv) under or by virtue of the Privacy and Electronic Communications (EC Directive) Regulations 2003 (S.I. 2003/2426),
  - (b) any expenses of the Secretary of State in respect of the Commissioner so far as attributable to those functions,

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- (c) to the extent that the Secretary of State considers appropriate, any deficit previously incurred (whether before or after the passing of this Act) in respect of the expenses mentioned in paragraph (a), and
  - (d) to the extent that the Secretary of State considers appropriate, expenses incurred by the Secretary of State in respect of the inclusion of any officers or staff of the Commissioner in any scheme under section 1 of the Superannuation Act 1972 or section 1 of the Public Service Pensions Act 2013.
- (5) The Secretary of State may from time to time require the Commissioner to provide information about the expenses referred to in subsection (4)(a).
- (6) The Secretary of State may by regulations make provision—
- (a) requiring a controller to provide information to the Commissioner, or
  - (b) enabling the Commissioner to require a controller to provide information to the Commissioner,
- for either or both of the purposes mentioned in subsection (7).
- (7) Those purposes are—
- (a) determining whether a charge is payable by the controller under regulations under subsection (1);
  - (b) determining the amount of a charge payable by the controller.
- (8) The provision that may be made under subsection (6)(a) includes provision requiring a controller to notify the Commissioner of a change in the controller's circumstances of a kind specified in the regulations.

#### Commencement Information

**I22** S. 137 in force at Royal Assent for specified purposes, see s. 212(2)(f)

### 138 Regulations under section 137: supplementary

- (1) Before making regulations under section 137(1) or (6), the Secretary of State must consult such representatives of persons likely to be affected by the regulations as the Secretary of State thinks appropriate (and see also section 182).
- (2) The Commissioner—
  - (a) must keep under review the working of regulations under section 137(1) or (6), and
  - (b) may from time to time submit proposals to the Secretary of State for amendments to be made to the regulations.
- (3) The Secretary of State must review the working of regulations under section 137(1) or (6)—
  - (a) at the end of the period of 5 years beginning with the making of the first set of regulations under section 108 of the Digital Economy Act 2017, and
  - (b) at the end of each subsequent 5 year period.
- (4) Regulations under section 137(1) are subject to the negative resolution procedure if—

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- (a) they only make provision increasing a charge for which provision is made by previous regulations under section 137(1) or section 108(1) of the Digital Economy Act 2017, and
  - (b) they do so to take account of an increase in the retail prices index since the previous regulations were made.
- (5) Subject to subsection (4), regulations under section 137(1) or (6) are subject to the affirmative resolution procedure.
- (6) In subsection (4), “the retail prices index” means—
- (a) the general index of retail prices (for all items) published by the Statistics Board, or
  - (b) where that index is not published for a month, any substitute index or figures published by the Board.
- (7) Regulations under section 137(1) or (6) may not apply to—
- (a) Her Majesty in her private capacity,
  - (b) Her Majesty in right of the Duchy of Lancaster, or
  - (c) the Duke of Cornwall.

#### Commencement Information

**I23** S. 138 in force at Royal Assent for specified purposes, see s. 212(2)(f)

VALID FROM 25/05/2018

#### *Reports etc*

#### **139 Reporting to Parliament**

- (1) The Commissioner must—
- (a) produce a general report on the carrying out of the Commissioner's functions annually,
  - (b) arrange for it to be laid before Parliament, and
  - (c) publish it.
- (2) The report must include the annual report required under Article 59 of the GDPR.
- (3) The Commissioner may produce other reports relating to the carrying out of the Commissioner's functions and arrange for them to be laid before Parliament.

#### **140 Publication by the Commissioner**

A duty under this Act for the Commissioner to publish a document is a duty for the Commissioner to publish it, or to arrange for it to be published, in such form and manner as the Commissioner considers appropriate.

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#### **141 Notices from the Commissioner**

- (1) This section applies in relation to a notice authorised or required by this Act to be given to a person by the Commissioner.
- (2) The notice may be given to an individual—
  - (a) by delivering it to the individual,
  - (b) by sending it to the individual by post addressed to the individual at his or her usual or last-known place of residence or business, or
  - (c) by leaving it for the individual at that place.
- (3) The notice may be given to a body corporate or unincorporate—
  - (a) by sending it by post to the proper officer of the body at its principal office, or
  - (b) by addressing it to the proper officer of the body and leaving it at that office.
- (4) The notice may be given to a partnership in Scotland—
  - (a) by sending it by post to the principal office of the partnership, or
  - (b) by addressing it to that partnership and leaving it at that office.
- (5) The notice may be given to the person by other means, including by electronic means, with the person's consent.
- (6) In this section—
  - “principal office”, in relation to a registered company, means its registered office;
  - “proper officer”, in relation to any body, means the secretary or other executive officer charged with the conduct of its general affairs;
  - “registered company” means a company registered under the enactments relating to companies for the time being in force in the United Kingdom.
- (7) This section is without prejudice to any other lawful method of giving a notice.

## **PART 6**

### ENFORCEMENT

VALID FROM 25/05/2018

#### *Information notices*

#### **142 Information notices**

- (1) The Commissioner may, by written notice (an “information notice”)—
  - (a) require a controller or processor to provide the Commissioner with information that the Commissioner reasonably requires for the purposes of carrying out the Commissioner's functions under the data protection legislation, or
  - (b) require any person to provide the Commissioner with information that the Commissioner reasonably requires for the purposes of—

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- (i) investigating a suspected failure of a type described in section 149(2) or a suspected offence under this Act, or
  - (ii) determining whether the processing of personal data is carried out by an individual in the course of a purely personal or household activity.
- (2) An information notice must state—
- (a) whether it is given under subsection (1)(a), (b)(i) or (b)(ii), and
  - (b) why the Commissioner requires the information.
- (3) An information notice—
- (a) may specify or describe particular information or a category of information;
  - (b) may specify the form in which the information must be provided;
  - (c) may specify the time at which, or the period within which, the information must be provided;
  - (d) may specify the place where the information must be provided;
- (but see the restrictions in subsections (5) to (7)).
- (4) An information notice must provide information about—
- (a) the consequences of failure to comply with it, and
  - (b) the rights under sections 162 and 164 (appeals etc).
- (5) An information notice may not require a person to provide information before the end of the period within which an appeal can be brought against the notice.
- (6) If an appeal is brought against an information notice, the information need not be provided pending the determination or withdrawal of the appeal.
- (7) If an information notice—
- (a) states that, in the Commissioner's opinion, the information is required urgently, and
  - (b) gives the Commissioner's reasons for reaching that opinion,
- subsections (5) and (6) do not apply but the notice must not require the information to be provided before the end of the period of 24 hours beginning when the notice is given.
- (8) The Commissioner may cancel an information notice by written notice to the person to whom it was given.
- (9) In subsection (1), in relation to a person who is a controller or processor for the purposes of the GDPR, the reference to a controller or processor includes a representative of a controller or processor designated under Article 27 of the GDPR (representatives of controllers or processors not established in the European Union).
- (10) Section 3(14)(c) does not apply to the reference to the processing of personal data in subsection (1)(b).

### **143 Information notices: restrictions**

- (1) The Commissioner may not give an information notice with respect to the processing of personal data for the special purposes unless—
- (a) a determination under section 174 with respect to the data or the processing has taken effect, or



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- (b) the Commissioner—
  - (i) has reasonable grounds for suspecting that such a determination could be made, and
  - (ii) the information is required for the purposes of making such a determination.
- (2) An information notice does not require a person to give the Commissioner information to the extent that requiring the person to do so would involve an infringement of the privileges of either House of Parliament.
- (3) An information notice does not require a person to give the Commissioner information in respect of a communication which is made—
  - (a) between a professional legal adviser and the adviser's client, and
  - (b) in connection with the giving of legal advice to the client with respect to obligations, liabilities or rights under the data protection legislation.
- (4) An information notice does not require a person to give the Commissioner information in respect of a communication which is made—
  - (a) between a professional legal adviser and the adviser's client or between such an adviser or client and another person,
  - (b) in connection with or in contemplation of proceedings under or arising out of the data protection legislation, and
  - (c) for the purposes of such proceedings.
- (5) In subsections (3) and (4), references to the client of a professional legal adviser include references to a person acting on behalf of the client.
- (6) An information notice does not require a person to provide the Commissioner with information if doing so would, by revealing evidence of the commission of an offence expose the person to proceedings for that offence.
- (7) The reference to an offence in subsection (6) does not include an offence under—
  - (a) this Act;
  - (b) section 5 of the Perjury Act 1911 (false statements made otherwise than on oath);
  - (c) section 44(2) of the Criminal Law (Consolidation) (Scotland) Act 1995 (false statements made otherwise than on oath);
  - (d) Article 10 of the Perjury (Northern Ireland) Order 1979 (S.I. 1979/1714 (N.I. 19)) (false statutory declarations and other false unsworn statements).
- (8) An oral or written statement provided by a person in response to an information notice may not be used in evidence against that person on a prosecution for an offence under this Act (other than an offence under section 144) unless in the proceedings—
  - (a) in giving evidence the person provides information inconsistent with the statement, and
  - (b) evidence relating to the statement is adduced, or a question relating to it is asked, by that person or on that person's behalf.
- (9) In subsection (6), in relation to an information notice given to a representative of a controller or processor designated under Article 27 of the GDPR, the reference to the person providing the information being exposed to proceedings for an offence includes a reference to the controller or processor being exposed to such proceedings.

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#### **144 False statements made in response to information notices**

It is an offence for a person, in response to an information notice—

- (a) to make a statement which the person knows to be false in a material respect, or
- (b) recklessly to make a statement which is false in a material respect.

#### **145 Information orders**

- (1) This section applies if, on an application by the Commissioner, a court is satisfied that a person has failed to comply with a requirement of an information notice.
- (2) The court may make an order requiring the person to provide to the Commissioner some or all of the following—
  - (a) information referred to in the information notice;
  - (b) other information which the court is satisfied the Commissioner requires, having regard to the statement included in the notice in accordance with section 142(2)(b).
- (3) The order—
  - (a) may specify the form in which the information must be provided,
  - (b) must specify the time at which, or the period within which, the information must be provided, and
  - (c) may specify the place where the information must be provided.

VALID FROM 25/05/2018

#### *Assessment notices*

#### **146 Assessment notices**

- (1) The Commissioner may by written notice (an “assessment notice”) require a controller or processor to permit the Commissioner to carry out an assessment of whether the controller or processor has complied or is complying with the data protection legislation.
- (2) An assessment notice may require the controller or processor to do any of the following—
  - (a) permit the Commissioner to enter specified premises;
  - (b) direct the Commissioner to documents on the premises that are of a specified description;
  - (c) assist the Commissioner to view information of a specified description that is capable of being viewed using equipment on the premises;
  - (d) comply with a request from the Commissioner for a copy (in such form as may be requested) of—
    - (i) the documents to which the Commissioner is directed;
    - (ii) the information which the Commissioner is assisted to view;
  - (e) direct the Commissioner to equipment or other material on the premises which is of a specified description;

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- (f) permit the Commissioner to inspect or examine the documents, information, equipment or material to which the Commissioner is directed or which the Commissioner is assisted to view;
  - (g) provide the Commissioner with an explanation of such documents, information, equipment or material;
  - (h) permit the Commissioner to observe the processing of personal data that takes place on the premises;
  - (i) make available for interview by the Commissioner a specified number of people of a specified description who process personal data on behalf of the controller, not exceeding the number who are willing to be interviewed.
- (3) In subsection (2), references to the Commissioner include references to the Commissioner's officers and staff.
- (4) An assessment notice must, in relation to each requirement imposed by the notice, specify the time or times at which, or period or periods within which, the requirement must be complied with (but see the restrictions in subsections (6) to (9)).
- (5) An assessment notice must provide information about—
- (a) the consequences of failure to comply with it, and
  - (b) the rights under sections 162 and 164 (appeals etc).
- (6) An assessment notice may not require a person to do anything before the end of the period within which an appeal can be brought against the notice.
- (7) If an appeal is brought against an assessment notice, the controller or processor need not comply with a requirement in the notice pending the determination or withdrawal of the appeal.
- (8) If an assessment notice—
- (a) states that, in the Commissioner's opinion, it is necessary for the controller or processor to comply with a requirement in the notice urgently,
  - (b) gives the Commissioner's reasons for reaching that opinion, and
  - (c) does not meet the conditions in subsection (9)(a) to (d),
- subsections (6) and (7) do not apply but the notice must not require the controller or processor to comply with the requirement before the end of the period of 7 days beginning when the notice is given.
- (9) If an assessment notice—
- (a) states that, in the Commissioner's opinion, there are reasonable grounds for suspecting that a controller or processor has failed or is failing as described in section 149(2) or that an offence under this Act has been or is being committed,
  - (b) indicates the nature of the suspected failure or offence,
  - (c) does not specify domestic premises,
  - (d) states that, in the Commissioner's opinion, it is necessary for the controller or processor to comply with a requirement in the notice in less than 7 days, and
  - (e) gives the Commissioner's reasons for reaching that opinion,
- subsections (6) and (7) do not apply.
- (10) The Commissioner may cancel an assessment notice by written notice to the controller or processor to whom it was given.

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(11) Where the Commissioner gives an assessment notice to a processor, the Commissioner must, so far as reasonably practicable, give a copy of the notice to each controller for whom the processor processes personal data.

(12) In this section—

“domestic premises” means premises, or a part of premises, used as a dwelling;

“specified” means specified in an assessment notice.

#### **147 Assessment notices: restrictions**

(1) An assessment notice does not require a person to do something to the extent that requiring the person to do it would involve an infringement of the privileges of either House of Parliament.

(2) An assessment notice does not have effect so far as compliance would result in the disclosure of a communication which is made—

- (a) between a professional legal adviser and the adviser's client, and
- (b) in connection with the giving of legal advice to the client with respect to obligations, liabilities or rights under the data protection legislation.

(3) An assessment notice does not have effect so far as compliance would result in the disclosure of a communication which is made—

- (a) between a professional legal adviser and the adviser's client or between such an adviser or client and another person,
- (b) in connection with or in contemplation of proceedings under or arising out of the data protection legislation, and
- (c) for the purposes of such proceedings.

(4) In subsections (2) and (3)—

- (a) references to the client of a professional legal adviser include references to a person acting on behalf of such a client, and
- (b) references to a communication include—
  - (i) a copy or other record of the communication, and
  - (ii) anything enclosed with or referred to in the communication if made as described in subsection (2)(b) or in subsection (3)(b) and (c).

(5) The Commissioner may not give a controller or processor an assessment notice with respect to the processing of personal data for the special purposes.

(6) The Commissioner may not give an assessment notice to—

- (a) a body specified in section 23(3) of the Freedom of Information Act 2000 (bodies dealing with security matters), or
- (b) the Office for Standards in Education, Children's Services and Skills in so far as it is a controller or processor in respect of information processed for the purposes of functions exercisable by Her Majesty's Chief Inspector of Education, Children's Services and Skills by virtue of section 5(1)(a) of the Care Standards Act 2000.

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VALID FROM 25/05/2018

*Information notices and assessment notices: destruction of documents etc*

#### **148 Destroying or falsifying information and documents etc**

- (1) This section applies where a person—
  - (a) has been given an information notice requiring the person to provide the Commissioner with information, or
  - (b) has been given an assessment notice requiring the person to direct the Commissioner to a document, equipment or other material or to assist the Commissioner to view information.
- (2) It is an offence for the person—
  - (a) to destroy or otherwise dispose of, conceal, block or (where relevant) falsify all or part of the information, document, equipment or material, or
  - (b) to cause or permit the destruction, disposal, concealment, blocking or (where relevant) falsification of all or part of the information, document, equipment or material,with the intention of preventing the Commissioner from viewing, or being provided with or directed to, all or part of the information, document, equipment or material.
- (3) It is a defence for a person charged with an offence under subsection (2) to prove that the destruction, disposal, concealment, blocking or falsification would have occurred in the absence of the person being given the notice.

*Enforcement notices*

#### **149 Enforcement notices**

- (1) Where the Commissioner is satisfied that a person has failed, or is failing, as described in subsection (2), (3), (4) or (5), the Commissioner may give the person a written notice (an “enforcement notice”) which requires the person—
  - (a) to take steps specified in the notice, or
  - (b) to refrain from taking steps specified in the notice,or both (and see also sections 150 and 151).
- (2) The first type of failure is where a controller or processor has failed, or is failing, to comply with any of the following—
  - (a) a provision of Chapter II of the GDPR or Chapter 2 of Part 3 or Chapter 2 of Part 4 of this Act (principles of processing);
  - (b) a provision of Articles 12 to 22 of the GDPR or Part 3 or 4 of this Act conferring rights on a data subject;
  - (c) a provision of Articles 25 to 39 of the GDPR or section 64 or 65 of this Act (obligations of controllers and processors);
  - (d) a requirement to communicate a personal data breach to the Commissioner or a data subject under section 67, 68 or 108 of this Act;

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- (e) the principles for transfers of personal data to third countries, non-Convention countries and international organisations in Articles 44 to 49 of the GDPR or in sections 73 to 78 or 109 of this Act.
- (3) The second type of failure is where a monitoring body has failed, or is failing, to comply with an obligation under Article 41 of the GDPR (monitoring of approved codes of conduct).
- (4) The third type of failure is where a person who is a certification provider—
  - (a) does not meet the requirements for accreditation,
  - (b) has failed, or is failing, to comply with an obligation under Article 42 or 43 of the GDPR (certification of controllers and processors), or
  - (c) has failed, or is failing, to comply with any other provision of the GDPR (whether in the person's capacity as a certification provider or otherwise).
- (5) The fourth type of failure is where a controller has failed, or is failing, to comply with regulations under section 137.
- (6) An enforcement notice given in reliance on subsection (2), (3) or (5) may only impose requirements which the Commissioner considers appropriate for the purpose of remedying the failure.
- (7) An enforcement notice given in reliance on subsection (4) may only impose requirements which the Commissioner considers appropriate having regard to the failure (whether or not for the purpose of remedying the failure).
- (8) The Secretary of State may by regulations confer power on the Commissioner to give an enforcement notice in respect of other failures to comply with the data protection legislation.
- (9) Regulations under this section—
  - (a) may make provision about the giving of an enforcement notice in respect of the failure, including by amending this section and sections 150 to 152,
  - (b) may make provision about the giving of an information notice, an assessment notice or a penalty notice, or about powers of entry and inspection, in connection with the failure, including by amending sections 142, 143, 146, 147 and 155 to 157 and Schedules 15 and 16, and
  - (c) are subject to the affirmative resolution procedure.

#### Commencement Information

**I24** S. 149 in force at Royal Assent for specified purposes, see s. 212(2)(f)

VALID FROM 25/05/2018

#### 150 Enforcement notices: supplementary

- (1) An enforcement notice must—
  - (a) state what the person has failed or is failing to do, and
  - (b) give the Commissioner's reasons for reaching that opinion.

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- (2) In deciding whether to give an enforcement notice in reliance on section 149(2), the Commissioner must consider whether the failure has caused or is likely to cause any person damage or distress.
- (3) In relation to an enforcement notice given in reliance on section 149(2), the Commissioner's power under section 149(1)(b) to require a person to refrain from taking specified steps includes power—
  - (a) to impose a ban relating to all processing of personal data, or
  - (b) to impose a ban relating only to a specified description of processing of personal data, including by specifying one or more of the following—
    - (i) a description of personal data;
    - (ii) the purpose or manner of the processing;
    - (iii) the time when the processing takes place.
- (4) An enforcement notice may specify the time or times at which, or period or periods within which, a requirement imposed by the notice must be complied with (but see the restrictions in subsections (6) to (8)).
- (5) An enforcement notice must provide information about—
  - (a) the consequences of failure to comply with it, and
  - (b) the rights under sections 162 and 164 (appeals etc).
- (6) An enforcement notice must not specify a time for compliance with a requirement in the notice which falls before the end of the period within which an appeal can be brought against the notice.
- (7) If an appeal is brought against an enforcement notice, a requirement in the notice need not be complied with pending the determination or withdrawal of the appeal.
- (8) If an enforcement notice—
  - (a) states that, in the Commissioner's opinion, it is necessary for a requirement to be complied with urgently, and
  - (b) gives the Commissioner's reasons for reaching that opinion,subsections (6) and (7) do not apply but the notice must not require the requirement to be complied with before the end of the period of 24 hours beginning when the notice is given.
- (9) In this section, “specified” means specified in an enforcement notice.

VALID FROM 25/05/2018

### **151 Enforcement notices: rectification and erasure of personal data etc**

- (1) Subsections (2) and (3) apply where an enforcement notice is given in respect of a failure by a controller or processor—
  - (a) to comply with a data protection principle relating to accuracy, or
  - (b) to comply with a data subject's request to exercise rights under Article 16, 17 or 18 of the GDPR (right to rectification, erasure or restriction on processing) or section 46, 47 or 100 of this Act.

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- (2) If the enforcement notice requires the controller or processor to rectify or erase inaccurate personal data, it may also require the controller or processor to rectify or erase any other data which—
  - (a) is held by the controller or processor, and
  - (b) contains an expression of opinion which appears to the Commissioner to be based on the inaccurate personal data.
- (3) Where a controller or processor has accurately recorded personal data provided by the data subject or a third party but the data is inaccurate, the enforcement notice may require the controller or processor—
  - (a) to take steps specified in the notice to ensure the accuracy of the data,
  - (b) if relevant, to secure that the data indicates the data subject's view that the data is inaccurate, and
  - (c) to supplement the data with a statement of the true facts relating to the matters dealt with by the data that is approved by the Commissioner,
 (as well as imposing requirements under subsection (2)).
- (4) When deciding what steps it is reasonable to specify under subsection (3)(a), the Commissioner must have regard to the purpose for which the data was obtained and further processed.
- (5) Subsections (6) and (7) apply where—
  - (a) an enforcement notice requires a controller or processor to rectify or erase personal data, or
  - (b) the Commissioner is satisfied that the processing of personal data which has been rectified or erased by the controller or processor involved a failure described in subsection (1).
- (6) An enforcement notice may, if reasonably practicable, require the controller or processor to notify third parties to whom the data has been disclosed of the rectification or erasure.
- (7) In determining whether it is reasonably practicable to require such notification, the Commissioner must have regard, in particular, to the number of people who would have to be notified.
- (8) In this section, “data protection principle relating to accuracy” means the principle in—
  - (a) Article 5(1)(d) of the GDPR,
  - (b) section 38(1) of this Act, or
  - (c) section 89 of this Act.

VALID FROM 25/05/2018

## 152 Enforcement notices: restrictions

- (1) The Commissioner may not give a controller or processor an enforcement notice in reliance on section 149(2) with respect to the processing of personal data for the special purposes unless—



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- (a) a determination under section 174 with respect to the data or the processing has taken effect, and
  - (b) a court has granted leave for the notice to be given.
- (2) A court must not grant leave for the purposes of subsection (1)(b) unless it is satisfied that—
- (a) the Commissioner has reason to suspect a failure described in section 149(2) which is of substantial public importance, and
  - (b) the controller or processor has been given notice of the application for leave in accordance with rules of court or the case is urgent.
- (3) An enforcement notice does not require a person to do something to the extent that requiring the person to do it would involve an infringement of the privileges of either House of Parliament.
- (4) In the case of a joint controller in respect of the processing of personal data to which Part 3 or 4 applies whose responsibilities for compliance with that Part are determined in an arrangement under section 58 or 104, the Commissioner may only give the controller an enforcement notice in reliance on section 149(2) if the controller is responsible for compliance with the provision, requirement or principle in question.

VALID FROM 25/05/2018

### **153 Enforcement notices: cancellation and variation**

- (1) The Commissioner may cancel or vary an enforcement notice by giving written notice to the person to whom it was given.
- (2) A person to whom an enforcement notice is given may apply in writing to the Commissioner for the cancellation or variation of the notice.
- (3) An application under subsection (2) may be made only—
  - (a) after the end of the period within which an appeal can be brought against the notice, and
  - (b) on the ground that, by reason of a change of circumstances, one or more of the provisions of that notice need not be complied with in order to remedy the failure identified in the notice.

VALID FROM 25/05/2018

### *Powers of entry and inspection*

### **154 Powers of entry and inspection**

Schedule 15 makes provision about powers of entry and inspection.

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## *Penalties*

### **155 Penalty notices**

- (1) If the Commissioner is satisfied that a person—
  - (a) has failed or is failing as described in section 149(2), (3), (4) or (5), or
  - (b) has failed to comply with an information notice, an assessment notice or an enforcement notice,
 the Commissioner may, by written notice (a “penalty notice”), require the person to pay to the Commissioner an amount in sterling specified in the notice.
- (2) Subject to subsection (4), when deciding whether to give a penalty notice to a person and determining the amount of the penalty, the Commissioner must have regard to the following, so far as relevant—
  - (a) to the extent that the notice concerns a matter to which the GDPR applies, the matters listed in Article 83(1) and (2) of the GDPR;
  - (b) to the extent that the notice concerns another matter, the matters listed in subsection (3).
- (3) Those matters are—
  - (a) the nature, gravity and duration of the failure;
  - (b) the intentional or negligent character of the failure;
  - (c) any action taken by the controller or processor to mitigate the damage or distress suffered by data subjects;
  - (d) the degree of responsibility of the controller or processor, taking into account technical and organisational measures implemented by the controller or processor in accordance with section 57, 66, 103 or 107;
  - (e) any relevant previous failures by the controller or processor;
  - (f) the degree of co-operation with the Commissioner, in order to remedy the failure and mitigate the possible adverse effects of the failure;
  - (g) the categories of personal data affected by the failure;
  - (h) the manner in which the infringement became known to the Commissioner, including whether, and if so to what extent, the controller or processor notified the Commissioner of the failure;
  - (i) the extent to which the controller or processor has complied with previous enforcement notices or penalty notices;
  - (j) adherence to approved codes of conduct or certification mechanisms;
  - (k) any other aggravating or mitigating factor applicable to the case, including financial benefits gained, or losses avoided, as a result of the failure (whether directly or indirectly);
  - (l) whether the penalty would be effective, proportionate and dissuasive.
- (4) Subsections (2) and (3) do not apply in the case of a decision or determination relating to a failure described in section 149(5).
- (5) Schedule 16 makes further provision about penalty notices, including provision requiring the Commissioner to give a notice of intent to impose a penalty and provision about payment, variation, cancellation and enforcement.
- (6) The Secretary of State may by regulations—

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- (a) confer power on the Commissioner to give a penalty notice in respect of other failures to comply with the data protection legislation, and
  - (b) provide for the maximum penalty that may be imposed in relation to such failures to be either the standard maximum amount or the higher maximum amount.
- (7) Regulations under this section—
- (a) may make provision about the giving of penalty notices in respect of the failure,
  - (b) may amend this section and sections 156 to 158, and
  - (c) are subject to the affirmative resolution procedure.
- (8) In this section, “higher maximum amount” and “standard maximum amount” have the same meaning as in section 157.

#### Commencement Information

**I25** S. 155 in force at Royal Assent for specified purposes, see s. 212(2)(f)

VALID FROM 25/05/2018

#### 156 Penalty notices: restrictions

- (1) The Commissioner may not give a controller or processor a penalty notice in reliance on section 149(2) with respect to the processing of personal data for the special purposes unless—
- (a) a determination under section 174 with respect to the data or the processing has taken effect, and
  - (b) a court has granted leave for the notice to be given.
- (2) A court must not grant leave for the purposes of subsection (1)(b) unless it is satisfied that—
- (a) the Commissioner has reason to suspect a failure described in section 149(2) which is of substantial public importance, and
  - (b) the controller or processor has been given notice of the application for leave in accordance with rules of court or the case is urgent.
- (3) The Commissioner may not give a controller or processor a penalty notice with respect to the processing of personal data where the purposes and manner of the processing are determined by or on behalf of either House of Parliament.
- (4) The Commissioner may not give a penalty notice to—
- (a) the Crown Estate Commissioners, or
  - (b) a person who is a controller by virtue of section 209(4) (controller for the Royal Household etc).
- (5) In the case of a joint controller in respect of the processing of personal data to which Part 3 or 4 applies whose responsibilities for compliance with that Part are determined in an arrangement under section 58 or 104, the Commissioner may only

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give the controller a penalty notice in reliance on section 149(2) if the controller is responsible for compliance with the provision, requirement or principle in question.

VALID FROM 25/05/2018

## 157 Maximum amount of penalty

- (1) In relation to an infringement of a provision of the GDPR, the maximum amount of the penalty that may be imposed by a penalty notice is—
  - (a) the amount specified in Article 83 of the GDPR, or
  - (b) if an amount is not specified there, the standard maximum amount.
- (2) In relation to an infringement of a provision of Part 3 of this Act, the maximum amount of the penalty that may be imposed by a penalty notice is—
  - (a) in relation to a failure to comply with section 35, 36, 37, 38(1), 39(1), 40, 44, 45, 46, 47, 48, 49, 52, 53, 73, 74, 75, 76, 77 or 78, the higher maximum amount, and
  - (b) otherwise, the standard maximum amount.
- (3) In relation to an infringement of a provision of Part 4 of this Act, the maximum amount of the penalty that may be imposed by a penalty notice is—
  - (a) in relation to a failure to comply with section 86, 87, 88, 89, 90, 91, 93, 94, 100 or 109, the higher maximum amount, and
  - (b) otherwise, the standard maximum amount.
- (4) In relation to a failure to comply with an information notice, an assessment notice or an enforcement notice, the maximum amount of the penalty that may be imposed by a penalty notice is the higher maximum amount.
- (5) The “higher maximum amount” is—
  - (a) in the case of an undertaking, 20 million Euros or 4% of the undertaking's total annual worldwide turnover in the preceding financial year, whichever is higher, or
  - (b) in any other case, 20 million Euros.
- (6) The “standard maximum amount” is—
  - (a) in the case of an undertaking, 10 million Euros or 2% of the undertaking's total annual worldwide turnover in the preceding financial year, whichever is higher, or
  - (b) in any other case, 10 million Euros.
- (7) The maximum amount of a penalty in sterling must be determined by applying the spot rate of exchange set by the Bank of England on the day on which the penalty notice is given.

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VALID FROM 25/05/2018

### **158 Fixed penalties for non-compliance with charges regulations**

- (1) The Commissioner must produce and publish a document specifying the amount of the penalty for a failure to comply with regulations made under section 137.
- (2) The Commissioner may specify different amounts for different types of failure.
- (3) The maximum amount that may be specified is 150% of the highest charge payable by a controller in respect of a financial year in accordance with the regulations, disregarding any discount available under the regulations.
- (4) The Commissioner—
  - (a) may alter or replace the document, and
  - (b) must publish any altered or replacement document.
- (5) Before publishing a document under this section (including any altered or replacement document), the Commissioner must consult—
  - (a) the Secretary of State, and
  - (b) such other persons as the Commissioner considers appropriate.
- (6) The Commissioner must arrange for a document published under this section (including any altered or replacement document) to be laid before Parliament.

### **159 Amount of penalties: supplementary**

- (1) For the purposes of Article 83 of the GDPR and section 157, the Secretary of State may by regulations—
  - (a) provide that a person of a description specified in the regulations is or is not an undertaking, and
  - (b) make provision about how an undertaking's turnover is to be determined.
- (2) For the purposes of Article 83 of the GDPR, section 157 and section 158, the Secretary of State may by regulations provide that a period is or is not a financial year.
- (3) Regulations under this section are subject to the affirmative resolution procedure.

#### **Commencement Information**

**I26** S. 159 in force at Royal Assent for specified purposes, see s. 212(2)(f)

VALID FROM 25/05/2018

#### *Guidance*

### **160 Guidance about regulatory action**

- (1) The Commissioner must produce and publish guidance about how the Commissioner proposes to exercise the Commissioner's functions in connection with—

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- (a) information notices,
  - (b) assessment notices,
  - (c) enforcement notices, and
  - (d) penalty notices.
- (2) The Commissioner may produce and publish guidance about how the Commissioner proposes to exercise the Commissioner's other functions under this Part.
- (3) In relation to information notices, the guidance must include—
- (a) provision specifying factors to be considered in determining the time at which, or the period within which, information is to be required to be provided;
  - (b) provision about the circumstances in which the Commissioner would consider it appropriate to give an information notice to a person in reliance on section 142(7) (urgent cases);
  - (c) provision about how the Commissioner will determine how to proceed if a person does not comply with an information notice.
- (4) In relation to assessment notices, the guidance must include—
- (a) provision specifying factors to be considered in determining whether to give an assessment notice to a person;
  - (b) provision about the circumstances in which the Commissioner would consider it appropriate to give an assessment notice in reliance on section 146(8) or (9) (urgent cases);
  - (c) provision specifying descriptions of documents or information that—
    - (i) are not to be examined or inspected in accordance with an assessment notice, or
    - (ii) are to be so examined or inspected only by a person of a description specified in the guidance;
  - (d) provision about the nature of inspections and examinations carried out in accordance with an assessment notice;
  - (e) provision about the nature of interviews carried out in accordance with an assessment notice;
  - (f) provision about the preparation, issuing and publication by the Commissioner of assessment reports in respect of controllers and processors that have been given assessment notices;
  - (g) provision about how the Commissioner will determine how to proceed if a person does not comply with an assessment notice.
- (5) The guidance produced in accordance with subsection (4)(c) must include provisions that relate to—
- (a) documents and information concerning an individual's physical or mental health;
  - (b) documents and information concerning the provision of social care for an individual.
- (6) In relation to enforcement notices, the guidance must include—
- (a) provision specifying factors to be considered in determining whether to give an enforcement notice to a person;

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- (b) provision about the circumstances in which the Commissioner would consider it appropriate to give an enforcement notice to a person in reliance on section 150(8) (urgent cases);
  - (c) provision about how the Commissioner will determine how to proceed if a person does not comply with an enforcement notice.
- (7) In relation to penalty notices, the guidance must include—
- (a) provision about the circumstances in which the Commissioner would consider it appropriate to issue a penalty notice;
  - (b) provision about the circumstances in which the Commissioner would consider it appropriate to allow a person to make oral representations about the Commissioner's intention to give the person a penalty notice;
  - (c) provision explaining how the Commissioner will determine the amount of penalties;
  - (d) provision about how the Commissioner will determine how to proceed if a person does not comply with a penalty notice.
- (8) The Commissioner—
- (a) may alter or replace guidance produced under this section, and
  - (b) must publish any altered or replacement guidance.
- (9) Before producing guidance under this section (including any altered or replacement guidance), the Commissioner must consult—
- (a) the Secretary of State, and
  - (b) such other persons as the Commissioner considers appropriate.
- (10) Section 161 applies in relation to the first guidance under subsection (1).
- (11) The Commissioner must arrange for other guidance under this section (including any altered or replacement guidance) to be laid before Parliament.
- (12) In this section, “social care” has the same meaning as in Part 1 of the Health and Social Care Act 2008 (see section 9(3) of that Act).

## **161 Approval of first guidance about regulatory action**

- (1) When the first guidance is produced under section 160(1)—
- (a) the Commissioner must submit the final version to the Secretary of State, and
  - (b) the Secretary of State must lay the guidance before Parliament.
- (2) If, within the 40-day period, either House of Parliament resolves not to approve the guidance—
- (a) the Commissioner must not issue the guidance, and
  - (b) the Commissioner must produce another version of the guidance (and this section applies to that version).
- (3) If, within the 40-day period, no such resolution is made—
- (a) the Commissioner must issue the guidance, and
  - (b) the guidance comes into force at the end of the period of 21 days beginning with the day on which it is issued.
- (4) Nothing in subsection (2)(a) prevents another version of the guidance being laid before Parliament.

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- (5) In this section, “the 40-day period” means—
- (a) if the guidance is laid before both Houses of Parliament on the same day, the period of 40 days beginning with that day, or
  - (b) if the guidance is laid before the Houses of Parliament on different days, the period of 40 days beginning with the later of those days.
- (6) In calculating the 40-day period, no account is to be taken of any period during which Parliament is dissolved or prorogued or during which both Houses of Parliament are adjourned for more than 4 days.

VALID FROM 25/05/2018

### *Appeals etc*

#### **162 Rights of appeal**

- (1) A person who is given any of the following notices may appeal to the Tribunal—
- (a) an information notice;
  - (b) an assessment notice;
  - (c) an enforcement notice;
  - (d) a penalty notice;
  - (e) a penalty variation notice.
- (2) A person who is given an enforcement notice may appeal to the Tribunal against the refusal of an application under section 153 for the cancellation or variation of the notice.
- (3) A person who is given a penalty notice or a penalty variation notice may appeal to the Tribunal against the amount of the penalty specified in the notice, whether or not the person appeals against the notice.
- (4) Where a determination is made under section 174 in respect of the processing of personal data, the controller or processor may appeal to the Tribunal against the determination.

#### **163 Determination of appeals**

- (1) Subsections (2) to (4) apply where a person appeals to the Tribunal under section 162(1) or (3).
- (2) The Tribunal may review any determination of fact on which the notice or decision against which the appeal is brought was based.
- (3) If the Tribunal considers—
- (a) that the notice or decision against which the appeal is brought is not in accordance with the law, or
  - (b) to the extent that the notice or decision involved an exercise of discretion by the Commissioner, that the Commissioner ought to have exercised the discretion differently,



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the Tribunal must allow the appeal or substitute another notice or decision which the Commissioner could have given or made.

- (4) Otherwise, the Tribunal must dismiss the appeal.
- (5) On an appeal under section 162(2), if the Tribunal considers that the enforcement notice ought to be cancelled or varied by reason of a change in circumstances, the Tribunal must cancel or vary the notice.
- (6) On an appeal under section 162(4), the Tribunal may cancel the Commissioner's determination.

#### **164 Applications in respect of urgent notices**

- (1) This section applies where an information notice, an assessment notice or an enforcement notice given to a person contains an urgency statement.
- (2) The person may apply to the court for either or both of the following—
  - (a) the disapplication of the urgency statement in relation to some or all of the requirements of the notice;
  - (b) a change to the time at which, or the period within which, a requirement of the notice must be complied with.
- (3) On an application under subsection (2), the court may do any of the following—
  - (a) direct that the notice is to have effect as if it did not contain the urgency statement;
  - (b) direct that the inclusion of the urgency statement is not to have effect in relation to a requirement of the notice;
  - (c) vary the notice by changing the time at which, or the period within which, a requirement of the notice must be complied with;
  - (d) vary the notice by making other changes required to give effect to a direction under paragraph (a) or (b) or in consequence of a variation under paragraph (c).
- (4) The decision of the court on an application under this section is final.
- (5) In this section, “urgency statement” means—
  - (a) in relation to an information notice, a statement under section 142(7)(a),
  - (b) in relation to an assessment notice, a statement under section 146(8)(a) or (9)(d), and
  - (c) in relation to an enforcement notice, a statement under section 150(8)(a).

VALID FROM 25/05/2018

### *Complaints*

#### **165 Complaints by data subjects**

- (1) Articles 57(1)(f) and (2) and 77 of the GDPR (data subject's right to lodge a complaint) confer rights on data subjects to complain to the Commissioner if the data

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subject considers that, in connection with personal data relating to him or her, there is an infringement of the GDPR.

- (2) A data subject may make a complaint to the Commissioner if the data subject considers that, in connection with personal data relating to him or her, there is an infringement of Part 3 or 4 of this Act.
- (3) The Commissioner must facilitate the making of complaints under subsection (2) by taking steps such as providing a complaint form which can be completed electronically and by other means.
- (4) If the Commissioner receives a complaint under subsection (2), the Commissioner must—
  - (a) take appropriate steps to respond to the complaint,
  - (b) inform the complainant of the outcome of the complaint,
  - (c) inform the complainant of the rights under section 166, and
  - (d) if asked to do so by the complainant, provide the complainant with further information about how to pursue the complaint.
- (5) The reference in subsection (4)(a) to taking appropriate steps in response to a complaint includes—
  - (a) investigating the subject matter of the complaint, to the extent appropriate, and
  - (b) informing the complainant about progress on the complaint, including about whether further investigation or co-ordination with another supervisory authority or foreign designated authority is necessary.
- (6) If the Commissioner receives a complaint relating to the infringement of a data subject's rights under provisions adopted by a member State other than the United Kingdom pursuant to the Law Enforcement Directive, the Commissioner must—
  - (a) send the complaint to the relevant supervisory authority for the purposes of that Directive,
  - (b) inform the complainant that the Commissioner has done so, and
  - (c) if asked to do so by the complainant, provide the complainant with further information about how to pursue the complaint.
- (7) In this section—

“foreign designated authority” means an authority designated for the purposes of Article 13 of the Data Protection Convention by a party, other than the United Kingdom, which is bound by that Convention;

“supervisory authority” means a supervisory authority for the purposes of Article 51 of the GDPR or Article 41 of the Law Enforcement Directive in a member State other than the United Kingdom.

## 166 Orders to progress complaints

- (1) This section applies where, after a data subject makes a complaint under section 165 or Article 77 of the GDPR, the Commissioner—
  - (a) fails to take appropriate steps to respond to the complaint,
  - (b) fails to provide the complainant with information about progress on the complaint, or of the outcome of the complaint, before the end of the period of 3 months beginning when the Commissioner received the complaint, or

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- (c) if the Commissioner's consideration of the complaint is not concluded during that period, fails to provide the complainant with such information during a subsequent period of 3 months.
- (2) The Tribunal may, on an application by the data subject, make an order requiring the Commissioner—
- (a) to take appropriate steps to respond to the complaint, or
  - (b) to inform the complainant of progress on the complaint, or of the outcome of the complaint, within a period specified in the order.
- (3) An order under subsection (2)(a) may require the Commissioner—
- (a) to take steps specified in the order;
  - (b) to conclude an investigation, or take a specified step, within a period specified in the order.
- (4) Section 165(5) applies for the purposes of subsections (1)(a) and (2)(a) as it applies for the purposes of section 165(4)(a).

VALID FROM 25/05/2018

### *Remedies in the court*

#### **167 Compliance orders**

- (1) This section applies if, on an application by a data subject, a court is satisfied that there has been an infringement of the data subject's rights under the data protection legislation in contravention of that legislation.
- (2) A court may make an order for the purposes of securing compliance with the data protection legislation which requires the controller in respect of the processing, or a processor acting on behalf of that controller—
- (a) to take steps specified in the order, or
  - (b) to refrain from taking steps specified in the order.
- (3) The order may, in relation to each step, specify the time at which, or the period within which, it must be taken.
- (4) In subsection (1)—
- (a) the reference to an application by a data subject includes an application made in exercise of the right under Article 79(1) of the GDPR (right to an effective remedy against a controller or processor);
  - (b) the reference to the data protection legislation does not include Part 4 of this Act or regulations made under that Part.
- (5) In relation to a joint controller in respect of the processing of personal data to which Part 3 applies whose responsibilities are determined in an arrangement under section 58, a court may only make an order under this section if the controller is responsible for compliance with the provision of the data protection legislation that is contravened.

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### **168 Compensation for contravention of the GDPR**

- (1) In Article 82 of the GDPR (right to compensation for material or non-material damage), “non-material damage” includes distress.
- (2) Subsection (3) applies where—
  - (a) in accordance with rules of court, proceedings under Article 82 of the GDPR are brought by a representative body on behalf of a person, and
  - (b) a court orders the payment of compensation.
- (3) The court may make an order providing for the compensation to be paid on behalf of the person to—
  - (a) the representative body, or
  - (b) such other person as the court thinks fit.

### **169 Compensation for contravention of other data protection legislation**

- (1) A person who suffers damage by reason of a contravention of a requirement of the data protection legislation, other than the GDPR, is entitled to compensation for that damage from the controller or the processor, subject to subsections (2) and (3).
- (2) Under subsection (1)—
  - (a) a controller involved in processing of personal data is liable for any damage caused by the processing, and
  - (b) a processor involved in processing of personal data is liable for damage caused by the processing only if the processor—
    - (i) has not complied with an obligation under the data protection legislation specifically directed at processors, or
    - (ii) has acted outside, or contrary to, the controller's lawful instructions.
- (3) A controller or processor is not liable as described in subsection (2) if the controller or processor proves that the controller or processor is not in any way responsible for the event giving rise to the damage.
- (4) A joint controller in respect of the processing of personal data to which Part 3 or 4 applies whose responsibilities are determined in an arrangement under section 58 or 104 is only liable as described in subsection (2) if the controller is responsible for compliance with the provision of the data protection legislation that is contravened.
- (5) In this section, “damage” includes financial loss and damage not involving financial loss, such as distress.

VALID FROM 25/05/2018

### *Offences relating to personal data*

### **170 Unlawful obtaining etc of personal data**

- (1) It is an offence for a person knowingly or recklessly—
  - (a) to obtain or disclose personal data without the consent of the controller,

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- (b) to procure the disclosure of personal data to another person without the consent of the controller, or
  - (c) after obtaining personal data, to retain it without the consent of the person who was the controller in relation to the personal data when it was obtained.
- (2) It is a defence for a person charged with an offence under subsection (1) to prove that the obtaining, disclosing, procuring or retaining—
- (a) was necessary for the purposes of preventing or detecting crime,
  - (b) was required or authorised by an enactment, by a rule of law or by the order of a court or tribunal, or
  - (c) in the particular circumstances, was justified as being in the public interest.
- (3) It is also a defence for a person charged with an offence under subsection (1) to prove that—
- (a) the person acted in the reasonable belief that the person had a legal right to do the obtaining, disclosing, procuring or retaining,
  - (b) the person acted in the reasonable belief that the person would have had the consent of the controller if the controller had known about the obtaining, disclosing, procuring or retaining and the circumstances of it, or
  - (c) the person acted—
    - (i) for the special purposes,
    - (ii) with a view to the publication by a person of any journalistic, academic, artistic or literary material, and
    - (iii) in the reasonable belief that in the particular circumstances the obtaining, disclosing, procuring or retaining was justified as being in the public interest.
- (4) It is an offence for a person to sell personal data if the person obtained the data in circumstances in which an offence under subsection (1) was committed.
- (5) It is an offence for a person to offer to sell personal data if the person—
- (a) has obtained the data in circumstances in which an offence under subsection (1) was committed, or
  - (b) subsequently obtains the data in such circumstances.
- (6) For the purposes of subsection (5), an advertisement indicating that personal data is or may be for sale is an offer to sell the data.
- (7) In this section—
- (a) references to the consent of a controller do not include the consent of a person who is a controller by virtue of Article 28(10) of the GDPR or section 59(8) or 105(3) of this Act (processor to be treated as controller in certain circumstances);
  - (b) where there is more than one controller, such references are references to the consent of one or more of them.

## **171 Re-identification of de-identified personal data**

- (1) It is an offence for a person knowingly or recklessly to re-identify information that is de-identified personal data without the consent of the controller responsible for de-identifying the personal data.

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- (2) For the purposes of this section and section 172—
- (a) personal data is “de-identified” if it has been processed in such a manner that it can no longer be attributed, without more, to a specific data subject;
  - (b) a person “re-identifies” information if the person takes steps which result in the information no longer being de-identified within the meaning of paragraph (a).
- (3) It is a defence for a person charged with an offence under subsection (1) to prove that the re-identification—
- (a) was necessary for the purposes of preventing or detecting crime,
  - (b) was required or authorised by an enactment, by a rule of law or by the order of a court or tribunal, or
  - (c) in the particular circumstances, was justified as being in the public interest.
- (4) It is also a defence for a person charged with an offence under subsection (1) to prove that—
- (a) the person acted in the reasonable belief that the person—
    - (i) is the data subject to whom the information relates,
    - (ii) had the consent of that data subject, or
    - (iii) would have had such consent if the data subject had known about the re-identification and the circumstances of it,
  - (b) the person acted in the reasonable belief that the person—
    - (i) is the controller responsible for de-identifying the personal data,
    - (ii) had the consent of that controller, or
    - (iii) would have had such consent if that controller had known about the re-identification and the circumstances of it,
  - (c) the person acted—
    - (i) for the special purposes,
    - (ii) with a view to the publication by a person of any journalistic, academic, artistic or literary material, and
    - (iii) in the reasonable belief that in the particular circumstances the re-identification was justified as being in the public interest, or
  - (d) the effectiveness testing conditions were met (see section 172).
- (5) It is an offence for a person knowingly or recklessly to process personal data that is information that has been re-identified where the person does so—
- (a) without the consent of the controller responsible for de-identifying the personal data, and
  - (b) in circumstances in which the re-identification was an offence under subsection (1).
- (6) It is a defence for a person charged with an offence under subsection (5) to prove that the processing—
- (a) was necessary for the purposes of preventing or detecting crime,
  - (b) was required or authorised by an enactment, by a rule of law or by the order of a court or tribunal, or
  - (c) in the particular circumstances, was justified as being in the public interest.
- (7) It is also a defence for a person charged with an offence under subsection (5) to prove that—

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- (a) the person acted in the reasonable belief that the processing was lawful,
  - (b) the person acted in the reasonable belief that the person—
    - (i) had the consent of the controller responsible for de-identifying the personal data, or
    - (ii) would have had such consent if that controller had known about the processing and the circumstances of it, or
  - (c) the person acted—
    - (i) for the special purposes,
    - (ii) with a view to the publication by a person of any journalistic, academic, artistic or literary material, and
    - (iii) in the reasonable belief that in the particular circumstances the processing was justified as being in the public interest.
- (8) In this section—
- (a) references to the consent of a controller do not include the consent of a person who is a controller by virtue of Article 28(10) of the GDPR or section 59(8) or 105(3) of this Act (processor to be treated as controller in certain circumstances);
  - (b) where there is more than one controller, such references are references to the consent of one or more of them.

#### **172 Re-identification: effectiveness testing conditions**

- (1) For the purposes of section 171, in relation to a person who re-identifies information that is de-identified personal data, “the effectiveness testing conditions” means the conditions in subsections (2) and (3).
- (2) The first condition is that the person acted—
  - (a) with a view to testing the effectiveness of the de-identification of personal data,
  - (b) without intending to cause, or threaten to cause, damage or distress to a person, and
  - (c) in the reasonable belief that, in the particular circumstances, re-identifying the information was justified as being in the public interest.
- (3) The second condition is that the person notified the Commissioner or the controller responsible for de-identifying the personal data about the re-identification—
  - (a) without undue delay, and
  - (b) where feasible, not later than 72 hours after becoming aware of it.
- (4) Where there is more than one controller responsible for de-identifying personal data, the requirement in subsection (3) is satisfied if one or more of them is notified.

#### **173 Alteration etc of personal data to prevent disclosure to data subject**

- (1) Subsection (3) applies where—
  - (a) a request has been made in exercise of a data subject access right, and
  - (b) the person making the request would have been entitled to receive information in response to that request.
- (2) In this section, “data subject access right” means a right under—

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- (a) Article 15 of the GDPR (right of access by the data subject);
  - (b) Article 20 of the GDPR (right to data portability);
  - (c) section 45 of this Act (law enforcement processing: right of access by the data subject);
  - (d) section 94 of this Act (intelligence services processing: right of access by the data subject).
- (3) It is an offence for a person listed in subsection (4) to alter, deface, block, erase, destroy or conceal information with the intention of preventing disclosure of all or part of the information that the person making the request would have been entitled to receive.
- (4) Those persons are—
- (a) the controller, and
  - (b) a person who is employed by the controller, an officer of the controller or subject to the direction of the controller.
- (5) It is a defence for a person charged with an offence under subsection (3) to prove that—
- (a) the alteration, defacing, blocking, erasure, destruction or concealment of the information would have occurred in the absence of a request made in exercise of a data subject access right, or
  - (b) the person acted in the reasonable belief that the person making the request was not entitled to receive the information in response to the request.

VALID FROM 23/07/2018

### *The special purposes*

VALID FROM 25/05/2018

#### **174 The special purposes**

- (1) In this Part, “the special purposes” means one or more of the following—
- (a) the purposes of journalism;
  - (b) academic purposes;
  - (c) artistic purposes;
  - (d) literary purposes.
- (2) In this Part, “special purposes proceedings” means legal proceedings against a controller or processor which relate, wholly or partly, to personal data processed for the special purposes and which are—
- (a) proceedings under section 167 (including proceedings on an application under Article 79 of the GDPR), or
  - (b) proceedings under Article 82 of the GDPR or section 169.
- (3) The Commissioner may make a written determination, in relation to the processing of personal data, that—
- (a) the personal data is not being processed only for the special purposes;



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- (b) the personal data is not being processed with a view to the publication by a person of journalistic, academic, artistic or literary material which has not previously been published by the controller.
- (4) The Commissioner must give written notice of the determination to the controller and the processor.
- (5) The notice must provide information about the rights of appeal under section 162.
- (6) The determination does not take effect until one of the following conditions is satisfied—
  - (a) the period for the controller or the processor to appeal against the determination has ended without an appeal having been brought, or
  - (b) an appeal has been brought against the determination and—
    - (i) the appeal and any further appeal in relation to the determination has been decided or has otherwise ended, and
    - (ii) the time for appealing against the result of the appeal or further appeal has ended without another appeal having been brought.

VALID FROM 25/05/2018

### **175 Provision of assistance in special purposes proceedings**

- (1) An individual who is a party, or prospective party, to special purposes proceedings may apply to the Commissioner for assistance in those proceedings.
- (2) As soon as reasonably practicable after receiving an application under subsection (1), the Commissioner must decide whether, and to what extent, to grant it.
- (3) The Commissioner must not grant the application unless, in the Commissioner's opinion, the case involves a matter of substantial public importance.
- (4) If the Commissioner decides not to provide assistance, the Commissioner must, as soon as reasonably practicable, notify the applicant of the decision, giving reasons for the decision.
- (5) If the Commissioner decides to provide assistance, the Commissioner must—
  - (a) as soon as reasonably practicable, notify the applicant of the decision, stating the extent of the assistance to be provided, and
  - (b) secure that the person against whom the proceedings are, or are to be, brought is informed that the Commissioner is providing assistance.
- (6) The assistance that may be provided by the Commissioner includes—
  - (a) paying costs in connection with the proceedings, and
  - (b) indemnifying the applicant in respect of liability to pay costs, expenses or damages in connection with the proceedings.
- (7) In England and Wales or Northern Ireland, the recovery of expenses incurred by the Commissioner in providing an applicant with assistance under this section (as taxed or assessed in accordance with rules of court) is to constitute a first charge for the benefit of the Commissioner—

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- (a) on any costs which, by virtue of any judgment or order of the court, are payable to the applicant by any other person in respect of the matter in connection with which the assistance is provided, and
  - (b) on any sum payable to the applicant under a compromise or settlement arrived at in connection with that matter to avoid, or bring to an end, any proceedings.
- (8) In Scotland, the recovery of such expenses (as taxed or assessed in accordance with rules of court) is to be paid to the Commissioner, in priority to other debts—
- (a) out of any expenses which, by virtue of any judgment or order of the court, are payable to the applicant by any other person in respect of the matter in connection with which the assistance is provided, and
  - (b) out of any sum payable to the applicant under a compromise or settlement arrived at in connection with that matter to avoid, or bring to an end, any proceedings.

VALID FROM 25/05/2018

#### **176 Staying special purposes proceedings**

- (1) In any special purposes proceedings before a court, if the controller or processor claims, or it appears to the court, that any personal data to which the proceedings relate—
- (a) is being processed only for the special purposes,
  - (b) is being processed with a view to the publication by any person of journalistic, academic, artistic or literary material, and
  - (c) has not previously been published by the controller,
- the court must stay or, in Scotland, sist the proceedings.
- (2) In considering, for the purposes of subsection (1)(c), whether material has previously been published, publication in the immediately preceding 24 hours is to be ignored.
- (3) Under subsection (1), the court must stay or sist the proceedings until either of the following conditions is met—
- (a) a determination of the Commissioner under section 174 with respect to the personal data or the processing takes effect;
  - (b) where the proceedings were stayed or sisted on the making of a claim, the claim is withdrawn.

#### **177 Guidance about how to seek redress against media organisations**

- (1) The Commissioner must produce and publish guidance about the steps that may be taken where an individual considers that a media organisation is failing or has failed to comply with the data protection legislation.
- (2) In this section, “media organisation” means a body or other organisation whose activities consist of or include journalism.

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- (3) The guidance must include provision about relevant complaints procedures, including—
  - (a) who runs them,
  - (b) what can be complained about, and
  - (c) how to make a complaint.
- (4) For the purposes of subsection (3), relevant complaints procedures include procedures for making complaints to the Commissioner, the Office of Communications, the British Broadcasting Corporation and other persons who produce or enforce codes of practice for media organisations.
- (5) The guidance must also include provision about—
  - (a) the powers available to the Commissioner in relation to a failure to comply with the data protection legislation,
  - (b) when a claim in respect of such a failure may be made before a court and how to make such a claim,
  - (c) alternative dispute resolution procedures,
  - (d) the rights of bodies and other organisations to make complaints and claims on behalf of data subjects, and
  - (e) the Commissioner's power to provide assistance in special purpose proceedings.
- (6) The Commissioner—
  - (a) may alter or replace the guidance, and
  - (b) must publish any altered or replacement guidance.
- (7) The Commissioner must produce and publish the first guidance under this section before the end of the period of 1 year beginning when this Act is passed.

## **178 Review of processing of personal data for the purposes of journalism**

- (1) The Commissioner must—
  - (a) review the extent to which, during each review period, the processing of personal data for the purposes of journalism complied with—
    - (i) the data protection legislation, and
    - (ii) good practice in the processing of personal data for the purposes of journalism,
  - (b) prepare a report of the review, and
  - (c) submit the report to the Secretary of State.
- (2) In this section—

“good practice in the processing of personal data for the purposes of journalism” has the same meaning as in section 124;

“review period” means—

  - (a) the period of 4 years beginning with the day on which Chapter 2 of Part 2 of this Act comes into force, and
  - (b) each subsequent period of 5 years beginning with the day after the day on which the previous review period ended.
- (3) The Commissioner must start a review under this section, in respect of a review period, within the period of 6 months beginning when the review period ends.

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- (4) The Commissioner must submit the report of a review under this section to the Secretary of State—
  - (a) in the case of the first review, before the end of the period of 18 months beginning when the Commissioner started the review, and
  - (b) in the case of each subsequent review, before the end of the period of 12 months beginning when the Commissioner started the review.
- (5) The report must include consideration of the extent of compliance (as described in subsection (1)(a)) in each part of the United Kingdom.
- (6) The Secretary of State must—
  - (a) lay the report before Parliament, and
  - (b) send a copy of the report to—
    - (i) the Scottish Ministers,
    - (ii) the Welsh Ministers, and
    - (iii) the Executive Office in Northern Ireland.
- (7) Schedule 17 makes further provision for the purposes of a review under this section.

#### **179 Effectiveness of the media's dispute resolution procedures**

- (1) The Secretary of State must, before the end of each review period, lay before Parliament a report produced by the Secretary of State or an appropriate person on—
  - (a) the use of relevant alternative dispute resolution procedures, during that period, in cases involving a failure, or alleged failure, by a relevant media organisation to comply with the data protection legislation, and
  - (b) the effectiveness of those procedures in such cases.
- (2) In this section—
 

“appropriate person” means a person who the Secretary of State considers has appropriate experience and skills to produce a report described in subsection (1);

“relevant alternative dispute resolution procedures” means alternative dispute resolution procedures provided by persons who produce or enforce codes of practice for relevant media organisations;

“relevant media organisation” means a body or other organisation whose activities consist of or include journalism, other than a broadcaster;

“review period” means—

  - (a) the period of 3 years beginning when this Act is passed, and
  - (b) each subsequent period of 3 years.
- (3) The Secretary of State must send a copy of the report to—
  - (a) the Scottish Ministers,
  - (b) the Welsh Ministers, and
  - (c) the Executive Office in Northern Ireland.

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VALID FROM 25/05/2018

### *Jurisdiction of courts*

#### **180 Jurisdiction**

- (1) The jurisdiction conferred on a court by the provisions listed in subsection (2) is exercisable—
  - (a) in England and Wales, by the High Court or the county court,
  - (b) in Northern Ireland, by the High Court or a county court, and
  - (c) in Scotland, by the Court of Session or the sheriff,subject to subsections (3) and (4).
- (2) Those provisions are—
  - (a) section 145 (information orders);
  - (b) section 152 (enforcement notices and processing for the special purposes);
  - (c) section 156 (penalty notices and processing for the special purposes);
  - (d) section 167 and Article 79 of the GDPR (compliance orders);
  - (e) sections 168 and 169 and Article 82 of the GDPR (compensation).
- (3) In relation to the processing of personal data to which Part 4 applies, the jurisdiction conferred by the provisions listed in subsection (2) is exercisable only by the High Court or, in Scotland, the Court of Session.
- (4) In relation to an information notice which contains a statement under section 142(7), the jurisdiction conferred on a court by section 145 is exercisable only by the High Court or, in Scotland, the Court of Session.
- (5) The jurisdiction conferred on a court by section 164 (applications in respect of urgent notices) is exercisable only by the High Court or, in Scotland, the Court of Session.

VALID FROM 25/05/2018

### *Definitions*

#### **181 Interpretation of Part 6**

In this Part—

- “assessment notice” has the meaning given in section 146;
- “certification provider” has the meaning given in section 17;
- “enforcement notice” has the meaning given in section 149;
- “information notice” has the meaning given in section 142;
- “penalty notice” has the meaning given in section 155;
- “penalty variation notice” has the meaning given in Schedule 16;
- “representative”, in relation to a controller or processor, means a person designated by the controller or processor under Article 27 of the GDPR

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to represent the controller or processor with regard to the controller's or processor's obligations under the GDPR.

## PART 7

### SUPPLEMENTARY AND FINAL PROVISION

#### *Regulations under this Act*

#### **182 Regulations and consultation**

- (1) Regulations under this Act are to be made by statutory instrument.
- (2) Before making regulations under this Act, the Secretary of State must consult—
  - (a) the Commissioner, and
  - (b) such other persons as the Secretary of State considers appropriate.
- (3) Subsection (2) does not apply to regulations made under—
  - (a) section 23;
  - (b) section 30;
  - (c) section 211;
  - (d) section 212;
  - (e) section 213;
  - (f) paragraph 15 of Schedule 2.
- (4) Subsection (2) does not apply to regulations made under section 18 where the Secretary of State has made an urgency statement in respect of them.
- (5) Regulations under this Act may—
  - (a) make different provision for different purposes;
  - (b) include consequential, supplementary, incidental, transitional, transitory or saving provision.
- (6) Where regulations under this Act are subject to “the negative resolution procedure” the statutory instrument containing the regulations is subject to annulment in pursuance of a resolution of either House of Parliament.
- (7) Where regulations under this Act are subject to “the affirmative resolution procedure” the regulations may not be made unless a draft of the statutory instrument containing them has been laid before Parliament and approved by a resolution of each House of Parliament.
- (8) Where regulations under this Act are subject to “the made affirmative resolution procedure”—
  - (a) the statutory instrument containing the regulations must be laid before Parliament after being made, together with the urgency statement in respect of them, and
  - (b) the regulations cease to have effect at the end of the period of 120 days beginning with the day on which the instrument is made, unless within that period the instrument is approved by a resolution of each House of Parliament.

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- (9) In calculating the period of 120 days, no account is to be taken of any time during which—
  - (a) Parliament is dissolved or prorogued, or
  - (b) both Houses of Parliament are adjourned for more than 4 days.
- (10) Where regulations cease to have effect as a result of subsection (8), that does not—
  - (a) affect anything previously done under the regulations, or
  - (b) prevent the making of new regulations.
- (11) Any provision that may be included in regulations under this Act subject to the negative resolution procedure may be made by regulations subject to the affirmative resolution procedure or the made affirmative resolution procedure.
- (12) If a draft of a statutory instrument containing regulations under section 7 would, apart from this subsection, be treated for the purposes of the standing orders of either House of Parliament as a hybrid instrument, it is to proceed in that House as if it were not such an instrument.
- (13) A requirement under a provision of this Act to consult may be satisfied by consultation before, as well as by consultation after, the provision comes into force.
- (14) In this section, “urgency statement” has the meaning given in section 18(4).

#### *Changes to the Data Protection Convention*

### **183 Power to reflect changes to the Data Protection Convention**

- (1) The Secretary of State may by regulations make such provision as the Secretary of State considers necessary or appropriate in connection with an amendment of, or an instrument replacing, the Data Protection Convention which has effect, or is expected to have effect, in the United Kingdom.
- (2) The power under subsection (1) includes power—
  - (a) to amend or replace the definition of “the Data Protection Convention” in section 3;
  - (b) to amend Chapter 3 of Part 2 of this Act;
  - (c) to amend Part 4 of this Act;
  - (d) to make provision about the functions of the Commissioner, courts or tribunals in connection with processing of personal data to which Chapter 3 of Part 2 or Part 4 of this Act applies, including provision amending Parts 5 to 7 of this Act;
  - (e) to make provision about the functions of the Commissioner in connection with the Data Protection Convention or an instrument replacing that Convention, including provision amending Parts 5 to 7 of this Act;
  - (f) to consequentially amend this Act.
- (3) Regulations under this section are subject to the affirmative resolution procedure.
- (4) Regulations under this section may not be made after the end of the period of 3 years beginning with the day on which this Act is passed.

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### Commencement Information

**I27** S. 183 in force at Royal Assent for specified purposes, see s. 212(2)(f)

VALID FROM 25/05/2018

### *Rights of the data subject*

#### **184 Prohibition of requirement to produce relevant records**

- (1) It is an offence for a person (“P1”) to require another person to provide P1 with, or give P1 access to, a relevant record in connection with—
  - (a) the recruitment of an employee by P1,
  - (b) the continued employment of a person by P1, or
  - (c) a contract for the provision of services to P1.
- (2) It is an offence for a person (“P2”) to require another person to provide P2 with, or give P2 access to, a relevant record if—
  - (a) P2 is involved in the provision of goods, facilities or services to the public or a section of the public, and
  - (b) the requirement is a condition of providing or offering to provide goods, facilities or services to the other person or to a third party.
- (3) It is a defence for a person charged with an offence under subsection (1) or (2) to prove that imposing the requirement—
  - (a) was required or authorised by an enactment, by a rule of law or by the order of a court or tribunal, or
  - (b) in the particular circumstances, was justified as being in the public interest.
- (4) The imposition of the requirement referred to in subsection (1) or (2) is not to be regarded as justified as being in the public interest on the ground that it would assist in the prevention or detection of crime, given Part 5 of the Police Act 1997 (certificates of criminal records etc).
- (5) In subsections (1) and (2), the references to a person who requires another person to provide or give access to a relevant record include a person who asks another person to do so—
  - (a) knowing that, in the circumstances, it would be reasonable for the other person to feel obliged to comply with the request, or
  - (b) being reckless as to whether, in the circumstances, it would be reasonable for the other person to feel obliged to comply with the request,
 and the references to a “requirement” in subsections (3) and (4) are to be interpreted accordingly.
- (6) In this section—
 

“employment” means any employment, including—

  - (a) work under a contract for services or as an office-holder,
  - (b) work under an apprenticeship,



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(c) work experience as part of a training course or in the course of training for employment, and

(d) voluntary work,

and “employee” is to be interpreted accordingly;

“relevant record” has the meaning given in Schedule 18 and references to a relevant record include—

(a) a part of such a record, and

(b) a copy of, or of part of, such a record.

### **185 Avoidance of certain contractual terms relating to health records**

(1) A term or condition of a contract is void in so far as it purports to require an individual to supply another person with a record which—

(a) consists of the information contained in a health record, and

(b) has been or is to be obtained by a data subject in the exercise of a data subject access right.

(2) A term or condition of a contract is also void in so far as it purports to require an individual to produce such a record to another person.

(3) The references in subsections (1) and (2) to a record include a part of a record and a copy of all or part of a record.

(4) In this section, “data subject access right” means a right under—

(a) Article 15 of the GDPR (right of access by the data subject);

(b) Article 20 of the GDPR (right to data portability);

(c) section 45 of this Act (law enforcement processing: right of access by the data subject);

(d) section 94 of this Act (intelligence services processing: right of access by the data subject).

### **186 Data subject's rights and other prohibitions and restrictions**

(1) An enactment or rule of law prohibiting or restricting the disclosure of information, or authorising the withholding of information, does not remove or restrict the obligations and rights provided for in the provisions listed in subsection (2), except as provided by or under the provisions listed in subsection (3).

(2) The provisions providing obligations and rights are—

(a) Chapter III of the GDPR (rights of the data subject),

(b) Chapter 3 of Part 3 of this Act (law enforcement processing: rights of the data subject), and

(c) Chapter 3 of Part 4 of this Act (intelligence services processing: rights of the data subject).

(3) The provisions providing exceptions are—

(a) in Chapter 2 of Part 2 of this Act, sections 15 and 16 and Schedules 2, 3 and 4,

(b) in Chapter 3 of Part 2 of this Act, sections 23, 24, 25 and 26,

(c) in Part 3 of this Act, sections 44(4), 45(4) and 48(3), and

(d) in Part 4 of this Act, Chapter 6 .

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### *Representation of data subjects*

VALID FROM 25/05/2018

#### **187 Representation of data subjects with their authority**

- (1) In relation to the processing of personal data to which the GDPR applies—
  - (a) Article 80(1) of the GDPR (representation of data subjects) enables a data subject to authorise a body or other organisation which meets the conditions set out in that Article to exercise the data subject's rights under Articles 77, 78 and 79 of the GDPR (rights to lodge complaints and to an effective judicial remedy) on the data subject's behalf, and
  - (b) a data subject may also authorise such a body or organisation to exercise the data subject's rights under Article 82 of the GDPR (right to compensation).
- (2) In relation to the processing of personal data to which the GDPR does not apply, a body or other organisation which meets the conditions in subsections (3) and (4), if authorised to do so by a data subject, may exercise some or all of the following rights of a data subject on the data subject's behalf—
  - (a) rights under section 165(2), (4)(d) and (6)(c) (complaints to the Commissioner);
  - (b) rights under section 166(2) (orders for the Commissioner to progress complaints);
  - (c) rights under section 167(1) (compliance orders);
  - (d) the right to bring judicial review proceedings against the Commissioner.
- (3) The first condition is that the body or organisation, by virtue of its constitution or an enactment—
  - (a) is required (after payment of outgoings) to apply the whole of its income and any capital it expends for charitable or public purposes,
  - (b) is prohibited from directly or indirectly distributing amongst its members any part of its assets (otherwise than for charitable or public purposes), and
  - (c) has objectives which are in the public interest.
- (4) The second condition is that the body or organisation is active in the field of protection of data subjects' rights and freedoms with regard to the protection of their personal data.
- (5) In this Act, references to a “representative body”, in relation to a right of a data subject, are to a body or other organisation authorised to exercise the right on the data subject's behalf under Article 80 of the GDPR or this section.

#### **188 Representation of data subjects with their authority: collective proceedings**

- (1) The Secretary of State may by regulations make provision for representative bodies to bring proceedings before a court or tribunal in England and Wales or Northern Ireland combining two or more relevant claims.
- (2) In this section, “relevant claim”, in relation to a representative body, means a claim in respect of a right of a data subject which the representative body is authorised to exercise on the data subject's behalf under Article 80(1) of the GDPR or section 187.

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- (3) The power under subsection (1) includes power—
  - (a) to make provision about the proceedings;
  - (b) to confer functions on a person, including functions involving the exercise of a discretion;
  - (c) to make different provision in relation to England and Wales and in relation to Northern Ireland.
- (4) The provision mentioned in subsection (3)(a) includes provision about—
  - (a) the effect of judgments and orders;
  - (b) agreements to settle claims;
  - (c) the assessment of the amount of compensation;
  - (d) the persons to whom compensation may or must be paid, including compensation not claimed by the data subject;
  - (e) costs.
- (5) Regulations under this section are subject to the negative resolution procedure.

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#### Commencement Information

**I28** S. 188 in force at Royal Assent for specified purposes, see s. 212(2)(f)

VALID FROM 23/07/2018

#### **189** Duty to review provision for representation of data subjects

- (1) Before the end of the review period, the Secretary of State must—
  - (a) review the matters listed in subsection (2) in relation to England and Wales and Northern Ireland,
  - (b) prepare a report of the review, and
  - (c) lay a copy of the report before Parliament.
- (2) Those matters are—
  - (a) the operation of Article 80(1) of the GDPR,
  - (b) the operation of section 187,
  - (c) the merits of exercising the power under Article 80(2) of the GDPR (power to enable a body or other organisation which meets the conditions in Article 80(1) of the GDPR to exercise some or all of a data subject's rights under Articles 77, 78 and 79 of the GDPR without being authorised to do so by the data subject),
  - (d) the merits of making equivalent provision in relation to data subjects' rights under Article 82 of the GDPR (right to compensation), and
  - (e) the merits of making provision for a children's rights organisation to exercise some or all of a data subject's rights under Articles 77, 78, 79 and 82 of the GDPR on behalf of a data subject who is a child, with or without being authorised to do so by the data subject.
- (3) “The review period” is the period of 30 months beginning when section 187 comes into force.

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- (4) In carrying out the review, the Secretary of State must—
- (a) consider the particular needs of children separately from the needs of adults,
  - (b) have regard to the fact that children have different needs at different stages of development,
  - (c) carry out an analysis of the particular challenges that children face in authorising, and deciding whether to authorise, other persons to act on their behalf under Article 80(1) of the GDPR or section 187,
  - (d) consider the support and advice available to children in connection with the exercise of their rights under Articles 77, 78, 79 and 82 of the GDPR by another person on their behalf and the merits of making available other support or advice, and
  - (e) have regard to the United Kingdom's obligations under the United Nations Convention on the Rights of the Child.
- (5) Before preparing the report under subsection (1), the Secretary of State must consult the Commissioner and such other persons as the Secretary of State considers appropriate, including—
- (a) persons active in the field of protection of data subjects' rights and freedoms with regard to the protection of their personal data,
  - (b) children and parents,
  - (c) children's rights organisations and other persons who appear to the Secretary of State to represent the interests of children,
  - (d) child development experts, and
  - (e) trade associations.
- (6) In this section—
- “children's rights organisation” means a body or other organisation which—
- (a) is active in representing the interests of children, and
  - (b) has objectives which are in the public interest;
- “trade association” includes a body representing controllers or processors;
- “the United Nations Convention on the Rights of the Child” means the Convention on the Rights of the Child adopted by the General Assembly of the United Nations on 20 November 1989 (including any Protocols to that Convention which are in force in relation to the United Kingdom), subject to any reservations, objections or interpretative declarations by the United Kingdom for the time being in force.

## 190 Post-review powers to make provision about representation of data subjects

- (1) After the report under section 189(1) is laid before Parliament, the Secretary of State may by regulations—
- (a) exercise the powers under Article 80(2) of the GDPR in relation to England and Wales and Northern Ireland,
  - (b) make provision enabling a body or other organisation which meets the conditions in Article 80(1) of the GDPR to exercise a data subject's rights under Article 82 of the GDPR in England and Wales and Northern Ireland without being authorised to do so by the data subject, and

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- (c) make provision described in section 189(2)(e) in relation to the exercise in England and Wales and Northern Ireland of the rights of a data subject who is a child.
- (2) The powers under subsection (1) include power—
- (a) to make provision enabling a data subject to prevent a body or other organisation from exercising, or continuing to exercise, the data subject's rights;
  - (b) to make provision about proceedings before a court or tribunal where a body or organisation exercises a data subject's rights;
  - (c) to make provision for bodies or other organisations to bring proceedings before a court or tribunal combining two or more claims in respect of a right of a data subject;
  - (d) to confer functions on a person, including functions involving the exercise of a discretion;
  - (e) to amend sections 166 to 168, 180, 187, 203, 205 and 206;
  - (f) to insert new sections and Schedules into Part 6 or 7 ;
  - (g) to make different provision in relation to England and Wales and in relation to Northern Ireland.
- (3) The powers under subsection (1)(a) and (b) include power to make provision in relation to data subjects who are children or data subjects who are not children or both.
- (4) The provision mentioned in subsection (2)(b) and (c) includes provision about—
- (a) the effect of judgments and orders;
  - (b) agreements to settle claims;
  - (c) the assessment of the amount of compensation;
  - (d) the persons to whom compensation may or must be paid, including compensation not claimed by the data subject;
  - (e) costs.
- (5) Regulations under this section are subject to the affirmative resolution procedure.

**Commencement Information**

**I29** S. 190 in force at Royal Assent for specified purposes, see s. 212(2)(f)

*Framework for Data Processing by Government*

**191 Framework for Data Processing by Government**

- (1) The Secretary of State may prepare a document, called the Framework for Data Processing by Government, which contains guidance about the processing of personal data in connection with the exercise of functions of—
- (a) the Crown, a Minister of the Crown or a United Kingdom government department, and
  - (b) a person with functions of a public nature who is specified or described in regulations made by the Secretary of State.

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- (2) The document may make provision relating to all of those functions or only to particular functions or persons.
- (3) The document may not make provision relating to, or to the functions of, a part of the Scottish Administration, the Welsh Government, a Northern Ireland Minister or a Northern Ireland department.
- (4) The Secretary of State may from time to time prepare amendments of the document or a replacement document.
- (5) Before preparing a document or amendments under this section, the Secretary of State must consult—
  - (a) the Commissioner, and
  - (b) any other person the Secretary of State considers it appropriate to consult.
- (6) Regulations under subsection (1)(b) are subject to the negative resolution procedure.
- (7) In this section, “Northern Ireland Minister” includes the First Minister and deputy First Minister in Northern Ireland.

#### Commencement Information

**I30** S. 191 in force at Royal Assent for specified purposes, see s. 212(2)(f)

VALID FROM 23/07/2018

#### 192 Approval of the Framework

- (1) Before issuing a document prepared under section 191, the Secretary of State must lay it before Parliament.
- (2) If, within the 40-day period, either House of Parliament resolves not to approve the document, the Secretary of State must not issue it.
- (3) If no such resolution is made within that period—
  - (a) the Secretary of State must issue the document, and
  - (b) the document comes into force at the end of the period of 21 days beginning with the day on which it is issued.
- (4) Nothing in subsection (2) prevents another version of the document being laid before Parliament.
- (5) In this section, “the 40-day period” means—
  - (a) if the document is laid before both Houses of Parliament on the same day, the period of 40 days beginning with that day, or
  - (b) if the document is laid before the Houses of Parliament on different days, the period of 40 days beginning with the later of those days.
- (6) In calculating the 40-day period, no account is to be taken of any period during which Parliament is dissolved or prorogued or during which both Houses of Parliament are adjourned for more than 4 days.

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- (7) This section applies in relation to amendments prepared under section 191 as it applies in relation to a document prepared under that section.

VALID FROM 23/07/2018

### **193 Publication and review of the Framework**

- (1) The Secretary of State must publish a document issued under section 192(3).
- (2) Where an amendment of a document is issued under section 192(3), the Secretary of State must publish—
  - (a) the amendment, or
  - (b) the document as amended by it.
- (3) The Secretary of State must keep under review the document issued under section 192(3) for the time being in force.
- (4) Where the Secretary of State becomes aware that the terms of such a document could result in a breach of an international obligation of the United Kingdom, the Secretary of State must exercise the power under section 191(4) with a view to remedying the situation.

VALID FROM 23/07/2018

### **194 Effect of the Framework**

- (1) When carrying out processing of personal data which is the subject of a document issued under section 192(3) which is for the time being in force, a person must have regard to the document.
- (2) A failure to act in accordance with a provision of such a document does not of itself make a person liable to legal proceedings in a court or tribunal.
- (3) A document issued under section 192(3), including an amendment or replacement document, is admissible in evidence in legal proceedings.
- (4) In any legal proceedings before a court or tribunal, the court or tribunal must take into account a provision of any document issued under section 192(3) in determining a question arising in the proceedings if—
  - (a) the question relates to a time when the provision was in force, and
  - (b) the provision appears to the court or tribunal to be relevant to the question.
- (5) In determining a question arising in connection with the carrying out of any of the Commissioner's functions, the Commissioner must take into account a provision of a document issued under section 192(3) if—
  - (a) the question relates to a time when the provision was in force, and
  - (b) the provision appears to the Commissioner to be relevant to the question.

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VALID FROM 23/07/2018

*Data-sharing: HMRC and reserve forces*

**195 Reserve forces: data-sharing by HMRC**

- (1) The Reserve Forces Act 1996 is amended as follows.
- (2) After section 125 insert—

**“125A Supply of contact details by HMRC**

- (1) This subsection applies to contact details for—
  - (a) a member of an ex-regular reserve force, or
  - (b) a person to whom section 66 (officers and former servicemen liable to recall) applies,
 which are held by HMRC in connection with a function of HMRC.
- (2) HMRC may supply contact details to which subsection (1) applies to the Secretary of State for the purpose of enabling the Secretary of State—
  - (a) to contact a member of an ex-regular reserve force in connection with the person's liability, or potential liability, to be called out for service under Part 6;
  - (b) to contact a person to whom section 66 applies in connection with the person's liability, or potential liability, to be recalled for service under Part 7.
- (3) Where a person's contact details are supplied under subsection (2) for a purpose described in that subsection, they may also be used for defence purposes connected with the person's service (whether past, present or future) in the reserve forces or regular services.
- (4) In this section, “HMRC” means Her Majesty's Revenue and Customs.

**125B Prohibition on disclosure of contact details supplied under section 125A**

- (1) A person who receives information supplied under section 125A may not disclose it except with the consent of the Commissioners for Her Majesty's Revenue and Customs (which may be general or specific).
- (2) A person who contravenes subsection (1) is guilty of an offence.
- (3) It is a defence for a person charged with an offence under this section to prove that the person reasonably believed—
  - (a) that the disclosure was lawful, or
  - (b) that the information had already lawfully been made available to the public.
- (4) Subsections (4) to (7) of section 19 of the Commissioners for Revenue and Customs Act 2005 apply to an offence under this section as they apply to an offence under that section.



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- (5) Nothing in section 107 or 108 (institution of proceedings and evidence) applies in relation to an offence under this section.

### **125C Data protection**

- (1) Nothing in section 125A or 125B authorises the making of a disclosure which contravenes the data protection legislation.
- (2) In this section, “the data protection legislation” has the same meaning as in the Data Protection Act 2018 (see section 3 of that Act).”

VALID FROM 25/05/2018

## *Offences*

### **196 Penalties for offences**

- (1) A person who commits an offence under section 119 or 173 or paragraph 15 of Schedule 15 is liable—
- (a) on summary conviction in England and Wales, to a fine;
  - (b) on summary conviction in Scotland or Northern Ireland, to a fine not exceeding level 5 on the standard scale.
- (2) A person who commits an offence under section 132, 144, 148, 170, 171 or 184 is liable—
- (a) on summary conviction in England and Wales, to a fine;
  - (b) on summary conviction in Scotland or Northern Ireland, to a fine not exceeding the statutory maximum;
  - (c) on conviction on indictment, to a fine.
- (3) Subsections (4) and (5) apply where a person is convicted of an offence under section 170 or 184.
- (4) The court by or before which the person is convicted may order a document or other material to be forfeited, destroyed or erased if—
- (a) it has been used in connection with the processing of personal data, and
  - (b) it appears to the court to be connected with the commission of the offence, subject to subsection (5).
- (5) If a person, other than the offender, who claims to be the owner of the material, or to be otherwise interested in the material, applies to be heard by the court, the court must not make an order under subsection (4) without giving the person an opportunity to show why the order should not be made.

### **197 Prosecution**

- (1) In England and Wales, proceedings for an offence under this Act may be instituted only—
- (a) by the Commissioner, or

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- (b) by or with the consent of the Director of Public Prosecutions.
- (2) In Northern Ireland, proceedings for an offence under this Act may be instituted only—
  - (a) by the Commissioner, or
  - (b) by or with the consent of the Director of Public Prosecutions for Northern Ireland.
- (3) Subject to subsection (4), summary proceedings for an offence under section 173 (alteration etc of personal data to prevent disclosure) may be brought within the period of 6 months beginning with the day on which the prosecutor first knew of evidence that, in the prosecutor's opinion, was sufficient to bring the proceedings.
- (4) Such proceedings may not be brought after the end of the period of 3 years beginning with the day on which the offence was committed.
- (5) A certificate signed by or on behalf of the prosecutor and stating the day on which the 6 month period described in subsection (3) began is conclusive evidence of that fact.
- (6) A certificate purporting to be signed as described in subsection (5) is to be treated as so signed unless the contrary is proved.
- (7) In relation to proceedings in Scotland, section 136(3) of the Criminal Procedure (Scotland) Act 1995 (deemed date of commencement of proceedings) applies for the purposes of this section as it applies for the purposes of that section.

## **198 Liability of directors etc**

- (1) Subsection (2) applies where—
  - (a) an offence under this Act has been committed by a body corporate, and
  - (b) it is proved to have been committed with the consent or connivance of or to be attributable to neglect on the part of—
    - (i) a director, manager, secretary or similar officer of the body corporate, or
    - (ii) a person who was purporting to act in such a capacity.
- (2) The director, manager, secretary, officer or person, as well as the body corporate, is guilty of the offence and liable to be proceeded against and punished accordingly.
- (3) Where the affairs of a body corporate are managed by its members, subsections (1) and (2) apply in relation to the acts and omissions of a member in connection with the member's management functions in relation to the body as if the member were a director of the body corporate.
- (4) Subsection (5) applies where—
  - (a) an offence under this Act has been committed by a Scottish partnership, and
  - (b) the contravention in question is proved to have occurred with the consent or connivance of, or to be attributable to any neglect on the part of, a partner.
- (5) The partner, as well as the partnership, is guilty of the offence and liable to be proceeded against and punished accordingly.

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## **199 Recordable offences**

- (1) The National Police Records (Recordable Offences) Regulations 2000 (S.I. 2000/1139) have effect as if the offences under the following provisions were listed in the Schedule to the Regulations—
  - (a) section 119;
  - (b) section 132;
  - (c) section 144;
  - (d) section 148;
  - (e) section 170;
  - (f) section 171;
  - (g) section 173;
  - (h) section 184;
  - (i) paragraph 15 of Schedule 15.
- (2) Regulations under section 27(4) of the Police and Criminal Evidence Act 1984 (recordable offences) may repeal subsection (1).

## **200 Guidance about PACE codes of practice**

- (1) The Commissioner must produce and publish guidance about how the Commissioner proposes to perform the duty under section 67(9) of the Police and Criminal Evidence Act 1984 (duty to have regard to codes of practice under that Act when investigating offences and charging offenders) in connection with offences under this Act.
- (2) The Commissioner—
  - (a) may alter or replace the guidance, and
  - (b) must publish any altered or replacement guidance.
- (3) The Commissioner must consult the Secretary of State before publishing guidance under this section (including any altered or replacement guidance).
- (4) The Commissioner must arrange for guidance under this section (including any altered or replacement guidance) to be laid before Parliament.

### *The Tribunal*

VALID FROM 25/05/2018

## **201 Disclosure of information to the Tribunal**

- (1) No enactment or rule of law prohibiting or restricting the disclosure of information precludes a person from providing the First-tier Tribunal or the Upper Tribunal with information necessary for the discharge of—
  - (a) its functions under the data protection legislation, or
  - (b) its other functions relating to the Commissioner's acts and omissions.
- (2) But this section does not authorise the making of a disclosure which is prohibited by any of Parts 1 to 7 or Chapter 1 of Part 9 of the Investigatory Powers Act 2016.

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- (3) Until the repeal of Part 1 of the Regulation of Investigatory Powers Act 2000 by paragraphs 45 and 54 of Schedule 10 to the Investigatory Powers Act 2016 is fully in force, subsection (2) has effect as if it included a reference to that Part.

VALID FROM 25/05/2018

## 202 Proceedings in the First-tier Tribunal: contempt

- (1) This section applies where—
- (a) a person does something, or fails to do something, in relation to proceedings before the First-tier Tribunal—
    - (i) on an appeal under section 27, 79, 111 or 162, or
    - (ii) for an order under section 166, and
  - (b) if those proceedings were proceedings before a court having power to commit for contempt, the act or omission would constitute contempt of court.
- (2) The First-tier Tribunal may certify the offence to the Upper Tribunal.
- (3) Where an offence is certified under subsection (2), the Upper Tribunal may—
- (a) inquire into the matter, and
  - (b) deal with the person charged with the offence in any manner in which it could deal with the person if the offence had been committed in relation to the Upper Tribunal.
- (4) Before exercising the power under subsection (3)(b), the Upper Tribunal must—
- (a) hear any witness who may be produced against or on behalf of the person charged with the offence, and
  - (b) hear any statement that may be offered in defence.

## 203 Tribunal Procedure Rules

- (1) Tribunal Procedure Rules may make provision for regulating—
- (a) the exercise of the rights of appeal conferred by section 27, 79, 111 or 162, and
  - (b) the exercise of the rights of data subjects under section 166, including their exercise by a representative body.
- (2) In relation to proceedings involving the exercise of those rights, Tribunal Procedure Rules may make provision about—
- (a) securing the production of material used for the processing of personal data, and
  - (b) the inspection, examination, operation and testing of equipment or material used in connection with the processing of personal data.

### Commencement Information

**I31** S. 203 in force at Royal Assent for specified purposes, see s. 212(2)(f)

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### *Interpretation*

#### **204 Meaning of “health professional” and “social work professional”**

- (1) In this Act, “health professional” means any of the following—
- (a) a registered medical practitioner;
  - (b) a registered nurse or midwife;
  - (c) a registered dentist within the meaning of the Dentists Act 1984 (see section 53 of that Act);
  - (d) a registered dispensing optician or a registered optometrist within the meaning of the Opticians Act 1989 (see section 36 of that Act);
  - (e) a registered osteopath with the meaning of the Osteopaths Act 1993 (see section 41 of that Act);
  - (f) a registered chiropractor within the meaning of the Chiropractors Act 1994 (see section 43 of that Act);
  - (g) a person registered as a member of a profession to which the Health and Social Work Professions Order 2001 (S.I. 2002/254) for the time being extends, other than the social work profession in England;
  - (h) a registered pharmacist or a registered pharmacy technician within the meaning of the Pharmacy Order 2010 (S.I. 2010/231) (see article 3 of that Order);
  - (i) a registered person within the meaning of the Pharmacy (Northern Ireland) Order 1976 (S.I. 1976/1213 (N.I. 22)) (see Article 2 of that Order);
  - (j) a child psychotherapist;
  - (k) a scientist employed by a health service body as head of a department.
- (2) In this Act, “social work professional” means any of the following—
- (a) a person registered as a social worker in England in the register maintained under the Health and Social Work Professions Order 2001 (S.I. 2002/254);
  - (b) a person registered as a social worker in the register maintained by Social Care Wales under section 80 of the Regulation and Inspection of Social Care (Wales) Act 2016 (anaw 2);
  - (c) a person registered as a social worker in the register maintained by the Scottish Social Services Council under section 44 of the Regulation of Care (Scotland) Act 2001 (asp 8);
  - (d) a person registered as a social worker in the register maintained by the Northern Ireland Social Care Council under section 3 of the Health and Personal Social Services Act (Northern Ireland) 2001 (c. 3 (N.I.)).
- (3) In subsection (1)(a) “registered medical practitioner” includes a person who is provisionally registered under section 15 or 21 of the Medical Act 1983 and is engaged in such employment as is mentioned in subsection (3) of that section.
- (4) In subsection (1)(k) “health service body” means any of the following—
- (a) the Secretary of State in relation to the exercise of functions under section 2A or 2B of, or paragraph 7C, 8 or 12 of Schedule 1 to, the National Health Service Act 2006;
  - (b) a local authority in relation to the exercise of functions under section 2B or 111 of, or any of paragraphs 1 to 7B or 13 of Schedule 1 to, the National Health Service Act 2006;

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- (c) a National Health Service trust first established under section 25 of the National Health Service Act 2006;
- (d) a Special Health Authority established under section 28 of the National Health Service Act 2006;
- (e) an NHS foundation trust;
- (f) the National Institute for Health and Care Excellence;
- (g) the Health and Social Care Information Centre;
- (h) a National Health Service trust first established under section 5 of the National Health Service and Community Care Act 1990;
- (i) a Local Health Board established under section 11 of the National Health Service (Wales) Act 2006;
- (j) a National Health Service trust first established under section 18 of the National Health Service (Wales) Act 2006;
- (k) a Special Health Authority established under section 22 of the National Health Service (Wales) Act 2006;
- (l) a Health Board within the meaning of the National Health Service (Scotland) Act 1978;
- (m) a Special Health Board within the meaning of the National Health Service (Scotland) Act 1978;
- (n) a National Health Service trust first established under section 12A of the National Health Service (Scotland) Act 1978;
- (o) the managers of a State Hospital provided under section 102 of the National Health Service (Scotland) Act 1978;
- (p) the Regional Health and Social Care Board established under section 7 of the Health and Social Care (Reform) Act (Northern Ireland) 2009 (c. 1 (N.I.));
- (q) a special health and social care agency established under the Health and Personal Social Services (Special Agencies) (Northern Ireland) Order 1990 (S.I. 1990/247 (N.I. 3));
- (r) a Health and Social Care trust established under Article 10 of the Health and Personal Social Services (Northern Ireland) Order 1991 (S.I. 1991/194 (N.I. 1)).

## 205 General interpretation

(1) In this Act—

“biometric data” means personal data resulting from specific technical processing relating to the physical, physiological or behavioural characteristics of an individual, which allows or confirms the unique identification of that individual, such as facial images or dactyloscopic data;

“data concerning health” means personal data relating to the physical or mental health of an individual, including the provision of health care services, which reveals information about his or her health status;

“enactment” includes—

- (a) an enactment passed or made after this Act,
- (b) an enactment comprised in subordinate legislation,
- (c) an enactment comprised in, or in an instrument made under, a Measure or Act of the National Assembly for Wales,
- (d) an enactment comprised in, or in an instrument made under, an Act of the Scottish Parliament, and

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(e) an enactment comprised in, or in an instrument made under, Northern Ireland legislation;

“genetic data” means personal data relating to the inherited or acquired genetic characteristics of an individual which gives unique information about the physiology or the health of that individual and which results, in particular, from an analysis of a biological sample from the individual in question;

“government department” includes the following (except in the expression “United Kingdom government department”)—

- (a) a part of the Scottish Administration;
- (b) a Northern Ireland department;
- (c) the Welsh Government;
- (d) a body or authority exercising statutory functions on behalf of the Crown;

“health record” means a record which—

- (a) consists of data concerning health, and
- (b) has been made by or on behalf of a health professional in connection with the diagnosis, care or treatment of the individual to whom the data relates;

“inaccurate”, in relation to personal data, means incorrect or misleading as to any matter of fact;

“international obligation of the United Kingdom” includes—

- (a) an EU obligation, and
- (b) an obligation that arises under an international agreement or arrangement to which the United Kingdom is a party;

“international organisation” means an organisation and its subordinate bodies governed by international law, or any other body which is set up by, or on the basis of, an agreement between two or more countries;

“Minister of the Crown” has the same meaning as in the Ministers of the Crown Act 1975;

“publish” means make available to the public or a section of the public (and related expressions are to be read accordingly);

“subordinate legislation” has the meaning given in the Interpretation Act 1978;

“tribunal” means any tribunal in which legal proceedings may be brought;

“the Tribunal”, in relation to an application or appeal under this Act, means—

- (a) the Upper Tribunal, in any case where it is determined by or under Tribunal Procedure Rules that the Upper Tribunal is to hear the application or appeal, or
- (b) the First-tier Tribunal, in any other case.

(2) References in this Act to a period expressed in hours, days, weeks, months or years are to be interpreted in accordance with Article 3 of Regulation (EEC, Euratom) No. 1182/71 of the Council of 3 June 1971 determining the rules applicable to periods, dates and time limits, except in—

- (a) section 125(4), (7) and (8);
- (b) section 161(3), (5) and (6);
- (c) section 176(2);
- (d) section 178(2);

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- (e) section 182(8) and (9);
- (f) section 183(4);
- (g) section 192(3), (5) and (6);
- (h) section 197(3) and (4);
- (i) paragraph 23(4) and (5) of Schedule 1;
- (j) paragraphs 5(4) and 6(4) of Schedule 3;
- (k) Schedule 5;
- (l) paragraph 11(5) of Schedule 12;
- (m) Schedule 15;

(and the references in section 5 to terms used in Chapter 2 or 3 of Part 2 do not include references to a period expressed in hours, days, weeks, months or years).

- (3) Section 3(14)(b) (interpretation of references to Chapter 2 of Part 2 in Parts 5 to 7) and the amendments in Schedule 19 which make equivalent provision are not to be treated as implying a contrary intention for the purposes of section 20(2) of the Interpretation Act 1978, or any similar provision in another enactment, as it applies to other references to, or to a provision of, Chapter 2 of Part 2 of this Act.

## 206 Index of defined expressions

The Table below lists provisions which define or otherwise explain terms defined for this Act, for a Part of this Act or for Chapter 2 or 3 of Part 2 of this Act.

---

the affirmative resolution procedure	section 182
the applied Chapter 2 (in Chapter 3 of Part 2)	section 22
the applied GDPR	section 3
assessment notice (in Part 6)	section 181
biometric data	section 205
certification provider (in Part 6)	section 181
the Commissioner	section 3
competent authority (in Part 3)	section 30
consent (in Part 4)	section 84
controller	section 3
data concerning health	section 205
the Data Protection Convention	section 3
the data protection legislation	section 3
data subject	section 3
employee (in Parts 3 and 4)	sections 33 and 84
enactment	section 205
enforcement notice (in Part 6)	section 181
filing system	section 3



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FOI public authority (in Chapter 3 of Part 2)	section 21
the GDPR	section 3
genetic data	section 205
government department	section 205
health professional	section 204
health record	section 205
identifiable living individual	section 3
inaccurate	section 205
information notice (in Part 6)	section 181
intelligence service (in Part 4)	section 82
international obligation of the United Kingdom	section 205
international organisation	section 205
the Law Enforcement Directive	section 3
the law enforcement purposes (in Part 3)	section 31
the made affirmative resolution procedure	section 182
Minister of the Crown	section 205
the negative resolution procedure	section 182
penalty notice (in Part 6)	section 181
penalty variation notice (in Part 6)	section 181
personal data	section 3
personal data breach (in Parts 3 and 4)	sections 33 and 84
processing	section 3
processor	section 3
profiling (in Part 3)	section 33
public authority (in the GDPR and Part 2)	section 7
public body (in the GDPR and Part 2)	section 7
publish	section 205
recipient (in Parts 3 and 4)	sections 33 and 84
representative (in Part 6)	section 181
representative body (in relation to a right of a data subject)	section 187
restriction of processing (in Parts 3 and 4)	sections 33 and 84
social work professional	section 204
the special purposes (in Part 6)	section 174

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special purposes proceedings (in Part 6)	section 174
subordinate legislation	section 205
third country (in Part 3)	section 33
tribunal	section 205
the Tribunal	section 205

VALID FROM 25/05/2018

### *Territorial application*

#### **207 Territorial application of this Act**

- (1) This Act applies only to processing of personal data described in subsections (2) and (3).
- (2) It applies to the processing of personal data in the context of the activities of an establishment of a controller or processor in the United Kingdom, whether or not the processing takes place in the United Kingdom.
- (3) It also applies to the processing of personal data to which Chapter 2 of Part 2 (the GDPR) applies where—
  - (a) the processing is carried out in the context of the activities of an establishment of a controller or processor in a country or territory that is not a member State, whether or not the processing takes place in such a country or territory,
  - (b) the personal data relates to a data subject who is in the United Kingdom when the processing takes place, and
  - (c) the processing activities are related to—
    - (i) the offering of goods or services to data subjects in the United Kingdom, whether or not for payment, or
    - (ii) the monitoring of data subjects' behaviour in the United Kingdom.
- (4) Subsections (1) to (3) have effect subject to any provision in or made under section 120 providing for the Commissioner to carry out functions in relation to other processing of personal data.
- (5) Section 3(14)(c) does not apply to the reference to the processing of personal data in subsection (2).
- (6) The reference in subsection (3) to Chapter 2 of Part 2 (the GDPR) does not include that Chapter as applied by Chapter 3 of Part 2 (the applied GDPR).
- (7) In this section, references to a person who has an establishment in the United Kingdom include the following—
  - (a) an individual who is ordinarily resident in the United Kingdom,
  - (b) a body incorporated under the law of the United Kingdom or a part of the United Kingdom,
  - (c) a partnership or other unincorporated association formed under the law of the United Kingdom or a part of the United Kingdom, and

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(d) a person not within paragraph (a), (b) or (c) who maintains, and carries on activities through, an office, branch or agency or other stable arrangements in the United Kingdom,  
and references to a person who has an establishment in another country or territory have a corresponding meaning.

### General

VALID FROM 25/05/2018

#### 208 Children in Scotland

- (1) Subsections (2) and (3) apply where a question falls to be determined in Scotland as to the legal capacity of a person aged under 16 to—
  - (a) exercise a right conferred by the data protection legislation, or
  - (b) give consent for the purposes of the data protection legislation.
- (2) The person is to be taken to have that capacity where the person has a general understanding of what it means to exercise the right or give such consent.
- (3) A person aged 12 or over is to be presumed to be of sufficient age and maturity to have such understanding, unless the contrary is shown.

#### 209 Application to the Crown

- (1) This Act binds the Crown.
- (2) For the purposes of the GDPR and this Act, each government department is to be treated as a person separate from the other government departments (to the extent that is not already the case).
- (3) Where government departments are not able to enter into contracts with each other, a provision of the GDPR or this Act that would require relations between them to be governed by a contract (or other binding legal act) in writing is to be treated as satisfied if the relations are the subject of a memorandum of understanding between them.
- (4) Where the purposes for which and the manner in which personal data is, or is to be, processed are determined by a person acting on behalf of the Royal Household, the Duchy of Lancaster or the Duchy of Cornwall, the controller in respect of that data for the purposes of the GDPR and this Act is—
  - (a) in relation to the Royal Household, the Keeper of the Privy Purse,
  - (b) in relation to the Duchy of Lancaster, such person as the Chancellor of the Duchy appoints, and
  - (c) in relation to the Duchy of Cornwall, such person as the Duke of Cornwall, or the possessor for the time being of the Duchy of Cornwall, appoints.
- (5) Different persons may be appointed under subsection (4)(b) or (c) for different purposes.
- (6) As regards criminal liability—
  - (a) a government department is not liable to prosecution under this Act;

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- (b) nothing in subsection (4) makes a person who is a controller by virtue of that subsection liable to prosecution under this Act;
  - (c) a person in the service of the Crown is liable to prosecution under the provisions of this Act listed in subsection (7).
- (7) Those provisions are—
- (a) section 119;
  - (b) section 170;
  - (c) section 171;
  - (d) section 173;
  - (e) paragraph 15 of Schedule 15.

## **210 Application to Parliament**

- (1) Parts 1, 2 and 5 to 7 of this Act apply to the processing of personal data by or on behalf of either House of Parliament.
- (2) Where the purposes for which and the manner in which personal data is, or is to be, processed are determined by or on behalf of the House of Commons, the controller in respect of that data for the purposes of the GDPR and this Act is the Corporate Officer of that House.
- (3) Where the purposes for which and the manner in which personal data is, or is to be, processed are determined by or on behalf of the House of Lords, the controller in respect of that data for the purposes of the GDPR and this Act is the Corporate Officer of that House.
- (4) Subsections (2) and (3) do not apply where the purposes for which and the manner in which the personal data is, or is to be, processed are determined by or on behalf of the Intelligence and Security Committee of Parliament.
- (5) As regards criminal liability—
  - (a) nothing in subsection (2) or (3) makes the Corporate Officer of the House of Commons or the Corporate Officer of the House of Lords liable to prosecution under this Act;
  - (b) a person acting on behalf of either House of Parliament is liable to prosecution under the provisions of this Act listed in subsection (6).
- (6) Those provisions are—
  - (a) section 170;
  - (b) section 171;
  - (c) section 173;
  - (d) paragraph 15 of Schedule 15.

## **211 Minor and consequential provision**

- (1) In Schedule 19—
  - (a) Part 1 contains minor and consequential amendments of primary legislation;
  - (b) Part 2 contains minor and consequential amendments of other legislation;
  - (c) Part 3 contains consequential modifications of legislation;
  - (d) Part 4 contains supplementary provision.

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- (2) The Secretary of State may by regulations make provision that is consequential on any provision made by this Act.
- (3) Regulations under subsection (2)—
  - (a) may include transitional, transitory or saving provision;
  - (b) may amend, repeal or revoke an enactment.
- (4) The reference to an enactment in subsection (3)(b) does not include an enactment passed or made after the end of the Session in which this Act is passed.
- (5) Regulations under this section that amend, repeal or revoke primary legislation are subject to the affirmative resolution procedure.
- (6) Any other regulations under this section are subject to the negative resolution procedure.
- (7) In this section, “primary legislation” means—
  - (a) an Act;
  - (b) an Act of the Scottish Parliament;
  - (c) a Measure or Act of the National Assembly for Wales;
  - (d) Northern Ireland legislation.

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**Commencement Information**

**I32** S. 211 in force at Royal Assent for specified purposes, see s. 212(2)(f)

*Final*

**212 Commencement**

- (1) Except as provided by subsections (2) and (3), this Act comes into force on such day as the Secretary of State may by regulations appoint.
- (2) This section and the following provisions come into force on the day on which this Act is passed—
  - (a) sections 1 and 3;
  - (b) section 182;
  - (c) sections 204, 205 and 206;
  - (d) sections 209 and 210;
  - (e) sections 213(2), 214 and 215;
  - (f) any other provision of this Act so far as it confers power to make regulations or Tribunal Procedure Rules or is otherwise necessary for enabling the exercise of such a power on or after the day on which this Act is passed.
- (3) The following provisions come into force at the end of the period of 2 months beginning when this Act is passed—
  - (a) section 124;
  - (b) sections 125, 126 and 127, so far as they relate to a code prepared under section 124;
  - (c) section 177;

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- (d) section 178 and Schedule 17;
- (e) section 179.

(4) Regulations under this section may make different provision for different areas.

### 213 Transitional provision

- (1) Schedule 20 contains transitional, transitory and saving provision.
- (2) The Secretary of State may by regulations make transitional, transitory or saving provision in connection with the coming into force of any provision of this Act or with the GDPR beginning to apply, including provision amending or repealing a provision of Schedule 20.
- (3) Regulations under this section that amend or repeal a provision of Schedule 20 are subject to the negative resolution procedure.

#### Commencement Information

**I33** S. 213(2) in force and s. 213(3) in force for specified purposes at Royal Assent, see s. 212(2)(e)(f)

### 214 Extent

- (1) This Act extends to England and Wales, Scotland and Northern Ireland, subject to—
  - (a) subsections (2) to (5), and
  - (b) paragraph 12 of Schedule 12.
- (2) Section 199 extends to England and Wales only.
- (3) Sections 188, 189 and 190 extend to England and Wales and Northern Ireland only.
- (4) An amendment, repeal or revocation made by this Act has the same extent in the United Kingdom as the enactment amended, repealed or revoked.
- (5) This subsection and the following provisions also extend to the Isle of Man—
  - (a) paragraphs 332 and 434 of Schedule 19;
  - (b) sections 211(1), 212(1) and 213(2), so far as relating to those paragraphs.
- (6) Where there is a power to extend a part of an Act by Order in Council to any of the Channel Islands, the Isle of Man or any of the British overseas territories, the power may be exercised in relation to an amendment or repeal of that part which is made by or under this Act.

### 215 Short title

This Act may be cited as the Data Protection Act 2018.

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## SCHEDULES

VALID FROM 25/05/2018

### SCHEDULE 1

Section 10

#### SPECIAL CATEGORIES OF PERSONAL DATA AND CRIMINAL CONVICTIONS ETC DATA

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### SCHEDULE 2

Section 15

#### EXEMPTIONS ETC FROM THE GDPR

VALID FROM 25/05/2018

### PART 1

#### ADAPTATIONS AND RESTRICTIONS BASED ON ARTICLES 6(3) AND 23(1)

*GDPR provisions to be adapted or restricted: “the listed GDPR provisions”*

- 1 In this Part of this Schedule, “the listed GDPR provisions” means—
- (a) the following provisions of the GDPR (the rights and obligations in which may be restricted by virtue of Article 23(1) of the GDPR)—
    - (i) Article 13(1) to (3) (personal data collected from data subject: information to be provided);
    - (ii) Article 14(1) to (4) (personal data collected other than from data subject: information to be provided);
    - (iii) Article 15(1) to (3) (confirmation of processing, access to data and safeguards for third country transfers);
    - (iv) Article 16 (right to rectification);
    - (v) Article 17(1) and (2) (right to erasure);
    - (vi) Article 18(1) (restriction of processing);
    - (vii) Article 19 (notification obligation regarding rectification or erasure of personal data or restriction of processing);
    - (viii) Article 20(1) and (2) (right to data portability);
    - (ix) Article 21(1) (objections to processing);
    - (x) Article 5 (general principles) so far as its provisions correspond to the rights and obligations provided for in the provisions mentioned in sub-paragraphs (i) to (ix); and

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(b) the following provisions of the GDPR (the application of which may be adapted by virtue of Article 6(3) of the GDPR)—

- (i) Article 5(1)(a) (lawful, fair and transparent processing), other than the lawfulness requirements set out in Article 6;
- (ii) Article 5(1)(b) (purpose limitation).

*Crime and taxation: general*

2 (1) The listed GDPR provisions and Article 34(1) and (4) of the GDPR (communication of personal data breach to the data subject) do not apply to personal data processed for any of the following purposes—

- (a) the prevention or detection of crime,
- (b) the apprehension or prosecution of offenders, or
- (c) the assessment or collection of a tax or duty or an imposition of a similar nature,

to the extent that the application of those provisions would be likely to prejudice any of the matters mentioned in paragraphs (a) to (c).

(2) Sub-paragraph (3) applies where—

- (a) personal data is processed by a person (“Controller 1”) for any of the purposes mentioned in sub-paragraph (1)(a) to (c), and
- (b) another person (“Controller 2”) obtains the data from Controller 1 for the purpose of discharging statutory functions and processes it for the purpose of discharging statutory functions.

(3) Controller 2 is exempt from the obligations in the following provisions of the GDPR—

- (a) Article 13(1) to (3) (personal data collected from data subject: information to be provided),
- (b) Article 14(1) to (4) (personal data collected other than from data subject: information to be provided),
- (c) Article 15(1) to (3) (confirmation of processing, access to data and safeguards for third country transfers), and
- (d) Article 5 (general principles) so far as its provisions correspond to the rights and obligations provided for in the provisions mentioned in paragraphs (a) to (c),

to the same extent that Controller 1 is exempt from those obligations by virtue of sub-paragraph (1).

*Crime and taxation: risk assessment systems*

3 (1) The GDPR provisions listed in sub-paragraph (3) do not apply to personal data which consists of a classification applied to the data subject as part of a risk assessment system falling within sub-paragraph (2) to the extent that the application of those provisions would prevent the system from operating effectively.

(2) A risk assessment system falls within this sub-paragraph if—

- (a) it is operated by a government department, a local authority or another authority administering housing benefit, and
- (b) it is operated for the purposes of—



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- (i) the assessment or collection of a tax or duty or an imposition of a similar nature, or
  - (ii) the prevention or detection of crime or apprehension or prosecution of offenders, where the offence concerned involves the unlawful use of public money or an unlawful claim for payment out of public money.
- (3) The GDPR provisions referred to in sub-paragraph (1) are the following provisions of the GDPR (the rights and obligations in which may be restricted by virtue of Article 23(1) of the GDPR)—
- (a) Article 13(1) to (3) (personal data collected from data subject: information to be provided);
  - (b) Article 14(1) to (4) (personal data collected other than from data subject: information to be provided);
  - (c) Article 15(1) to (3) (confirmation of processing, access to data and safeguards for third country transfers);
  - (d) Article 5 (general principles) so far as its provisions correspond to the rights and obligations provided for in the provisions mentioned in paragraphs (a) to (c).

#### *Immigration*

- 4 (1) The GDPR provisions listed in sub-paragraph (2) do not apply to personal data processed for any of the following purposes—
- (a) the maintenance of effective immigration control, or
  - (b) the investigation or detection of activities that would undermine the maintenance of effective immigration control,
- to the extent that the application of those provisions would be likely to prejudice any of the matters mentioned in paragraphs (a) and (b).
- (2) The GDPR provisions referred to in sub-paragraph (1) are the following provisions of the GDPR (the rights and obligations in which may be restricted by virtue of Article 23(1) of the GDPR)—
- (a) Article 13(1) to (3) (personal data collected from data subject: information to be provided);
  - (b) Article 14(1) to (4) (personal data collected other than from data subject: information to be provided);
  - (c) Article 15(1) to (3) (confirmation of processing, access to data and safeguards for third country transfers);
  - (d) Article 17(1) and (2) (right to erasure);
  - (e) Article 18(1) (restriction of processing);
  - (f) Article 21(1) (objections to processing);
  - (g) Article 5 (general principles) so far as its provisions correspond to the rights and obligations provided for in the provisions mentioned in sub-paragraphs (a) to (f).

(That is, the listed GDPR provisions other than Article 16 (right to rectification), Article 19 (notification obligation regarding rectification or erasure of personal data or restriction of processing) and Article 20(1) and (2) (right to data portability) and, subject to sub-paragraph (2)(g) of this paragraph, the provisions of Article 5 listed in paragraph 1(b).)

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- (3) Sub-paragraph (4) applies where—
- (a) personal data is processed by a person (“Controller 1”), and
  - (b) another person (“Controller 2”) obtains the data from Controller 1 for any of the purposes mentioned in sub-paragraph (1)(a) and (b) and processes it for any of those purposes.
- (4) Controller 1 is exempt from the obligations in the following provisions of the GDPR—
- (a) Article 13(1) to (3) (personal data collected from data subject: information to be provided),
  - (b) Article 14(1) to (4) (personal data collected other than from data subject: information to be provided),
  - (c) Article 15(1) to (3) (confirmation of processing, access to data and safeguards for third country transfers), and
  - (d) Article 5 (general principles) so far as its provisions correspond to the rights and obligations provided for in the provisions mentioned in paragraphs (a) to (c),
- to the same extent that Controller 2 is exempt from those obligations by virtue of sub-paragraph (1).

*Information required to be disclosed by law etc or in connection with legal proceedings*

- 5 (1) The listed GDPR provisions do not apply to personal data consisting of information that the controller is obliged by an enactment to make available to the public, to the extent that the application of those provisions would prevent the controller from complying with that obligation.
- (2) The listed GDPR provisions do not apply to personal data where disclosure of the data is required by an enactment, a rule of law or an order of a court or tribunal, to the extent that the application of those provisions would prevent the controller from making the disclosure.
- (3) The listed GDPR provisions do not apply to personal data where disclosure of the data—
- (a) is necessary for the purpose of, or in connection with, legal proceedings (including prospective legal proceedings),
  - (b) is necessary for the purpose of obtaining legal advice, or
  - (c) is otherwise necessary for the purposes of establishing, exercising or defending legal rights,
- to the extent that the application of those provisions would prevent the controller from making the disclosure.

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## PART 2

### RESTRICTIONS BASED ON ARTICLE 23(1): RESTRICTIONS OF RULES IN ARTICLES 13 TO 21 AND 34

VALID FROM 25/05/2018

*GDPR provisions to be restricted: “the listed GDPR provisions”*

6 In this Part of this Schedule, “the listed GDPR provisions” means the following provisions of the GDPR (the rights and obligations in which may be restricted by virtue of Article 23(1) of the GDPR)—

- (a) Article 13(1) to (3) (personal data collected from data subject: information to be provided);
- (b) Article 14(1) to (4) (personal data collected other than from data subject: information to be provided);
- (c) Article 15(1) to (3) (confirmation of processing, access to data and safeguards for third country transfers);
- (d) Article 16 (right to rectification);
- (e) Article 17(1) and (2) (right to erasure);
- (f) Article 18(1) (restriction of processing);
- (g) Article 19 (notification obligation regarding rectification or erasure of personal data or restriction of processing);
- (h) Article 20(1) and (2) (right to data portability);
- (i) Article 21(1) (objections to processing);
- (j) Article 5 (general principles) so far as its provisions correspond to the rights and obligations provided for in the provisions mentioned in subparagraphs (a) to (i).

VALID FROM 25/05/2018

*Functions designed to protect the public etc*

7 The listed GDPR provisions do not apply to personal data processed for the purposes of discharging a function that—

- (a) is designed as described in column 1 of the Table, and
- (b) meets the condition relating to the function specified in column 2 of the Table,

to the extent that the application of those provisions would be likely to prejudice the proper discharge of the function.

#### TABLE

<i>Description of function design</i>	<i>Condition</i>
1. The function is designed to protect members of the public against—	The function is— <ul style="list-style-type: none"><li>(a) conferred on a person by an enactment,</li></ul>

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- |   |  |
|---|--|
| <p>(a) financial loss due to dishonesty, malpractice or other seriously improper conduct by, or the unfitness or incompetence of, persons concerned in the provision of banking, insurance, investment or other financial services or in the management of bodies corporate, or</p> <p>(b) financial loss due to the conduct of discharged or undischarged bankrupts.</p>   | <p>(b) a function of the Crown, a Minister of the Crown or a government department, or</p> <p>(c) of a public nature, and is exercised in the public interest.</p>   |
| <p>2. The function is designed to protect members of the public against—</p> <p>(a) dishonesty, malpractice or other seriously improper conduct, or</p> <p>(b) unfitness or incompetence.</p>   | <p>The function is—</p> <p>(a) conferred on a person by an enactment,</p> <p>(b) a function of the Crown, a Minister of the Crown or a government department, or</p> <p>(c) of a public nature, and is exercised in the public interest.</p> |
| <p>3. The function is designed—</p> <p>(a) to protect charities or community interest companies against misconduct or mismanagement (whether by trustees, directors or other persons) in their administration,</p> <p>(b) to protect the property of charities or community interest companies from loss or misapplication, or</p> <p>(c) to recover the property of charities or community interest companies.</p> | <p>The function is—</p> <p>(a) conferred on a person by an enactment,</p> <p>(b) a function of the Crown, a Minister of the Crown or a government department, or</p> <p>(c) of a public nature, and is exercised in the public interest.</p> |
| <p>4. The function is designed—</p> <p>(a) to secure the health, safety and welfare of persons at work, or</p> <p>(b) to protect persons other than those at work against risk to health or safety arising out of or in connection with the action of persons at work.</p>  | <p>The function is—</p> <p>(a) conferred on a person by an enactment,</p> <p>(b) a function of the Crown, a Minister of the Crown or a government department, or</p> <p>(c) of a public nature, and is exercised in the public interest.</p> |
| <p>5. The function is designed to protect members of the public against—</p> <p>(a) maladministration by public bodies,</p> <p>(b) failures in services provided by public bodies, or</p> <p>(c) a failure of a public body to provide a service which it is a function of the body to provide.</p>   | <p>The function is conferred by any enactment on—</p> <p>(a) the Parliamentary Commissioner for Administration,</p> <p>(b) the Commissioner for Local Administration in England,</p> <p>(c) the Health Service Commissioner for England,</p> |

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	(d) the Public Services Ombudsman for Wales, (e) the Northern Ireland Public Services Ombudsman, (f) the Prison Ombudsman for Northern Ireland, or (g) the Scottish Public Services Ombudsman.
6. The function is designed— (a) to protect members of the public against conduct which may adversely affect their interests by persons carrying on a business, (b) to regulate agreements or conduct which have as their object or effect the prevention, restriction or distortion of competition in connection with any commercial activity, or (c) to regulate conduct on the part of one or more undertakings which amounts to the abuse of a dominant position in a market.	The function is conferred on the Competition and Markets Authority by an enactment.

VALID FROM 25/05/2018

*Audit functions*

- 8 (1) The listed GDPR provisions do not apply to personal data processed for the purposes of discharging a function listed in sub-paragraph (2) to the extent that the application of those provisions would be likely to prejudice the proper discharge of the function.
- (2) The functions are any function that is conferred by an enactment on—  
(a) the Comptroller and Auditor General;  
(b) the Auditor General for Scotland;  
(c) the Auditor General for Wales;  
(d) the Comptroller and Auditor General for Northern Ireland.

VALID FROM 25/05/2018

*Functions of the Bank of England*

- 9 (1) The listed GDPR provisions do not apply to personal data processed for the purposes of discharging a relevant function of the Bank of England to the extent that the application of those provisions would be likely to prejudice the proper discharge of the function.
- (2) “Relevant function of the Bank of England” means—

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- (a) a function discharged by the Bank acting in its capacity as a monetary authority (as defined in section 244(2)(c) and (2A) of the Banking Act 2009);
- (b) a public function of the Bank within the meaning of section 349 of the Financial Services and Markets Act 2000;
- (c) a function conferred on the Prudential Regulation Authority by or under the Financial Services and Markets Act 2000 or by another enactment.

VALID FROM 25/05/2018

*Regulatory functions relating to legal services, the health service and children's services*

- 10 (1) The listed GDPR provisions do not apply to personal data processed for the purposes of discharging a function listed in sub-paragraph (2) to the extent that the application of those provisions would be likely to prejudice the proper discharge of the function.
- (2) The functions are—
- (a) a function of the Legal Services Board;
  - (b) the function of considering a complaint under the scheme established under Part 6 of the Legal Services Act 2007 (legal complaints);
  - (c) the function of considering a complaint under—
    - (i) section 14 of the NHS Redress Act 2006,
    - (ii) section 113(1) or (2) or section 114(1) or (3) of the Health and Social Care (Community Health and Standards) Act 2003,
    - (iii) section 24D or 26 of the Children Act 1989, or
    - (iv) Part 2A of the Public Services Ombudsman (Wales) Act 2005;
  - (d) the function of considering a complaint or representations under Chapter 1 of Part 10 of the Social Services and Well-being (Wales) Act 2014 (anaw 4).

VALID FROM 25/05/2018

*Regulatory functions of certain other persons*

- 11 The listed GDPR provisions do not apply to personal data processed for the purposes of discharging a function that—
- (a) is a function of a person described in column 1 of the Table, and
  - (b) is conferred on that person as described in column 2 of the Table,
- to the extent that the application of those provisions would be likely to prejudice the proper discharge of the function.

TABLE

<i>Person on whom function is conferred</i>	<i>How function is conferred</i>
1. The Commissioner.	By or under— <ul style="list-style-type: none"> <li>(a) the data protection legislation;</li> </ul>

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	<ul style="list-style-type: none"><li>(b) the Freedom of Information Act 2000;</li><li>(c) section 244 of the Investigatory Powers Act 2016;</li><li>(d) the Privacy and Electronic Communications (EC Directive) Regulations 2003 (S.I. 2003/2426);</li><li>(e) the Environmental Information Regulations 2004 (S.I. 2004/3391);</li><li>(f) the INSPIRE Regulations 2009 (S.I. 2009/3157);</li><li>(g) <a href="#">Regulation (EU) No 910/2014</a> of the European Parliament and of the Council of 23 July 2014 on electronic identification and trust services for electronic transactions in the internal market and repealing Directive <a href="#">1999/93/EC</a>;</li><li>(h) the Re-use of Public Sector Information Regulations 2015 (S.I. 2015/1415);</li><li>(i) the Electronic Identification and Trust Services for Electronic Transactions Regulations 2016 (S.I. 2016/696).</li></ul>
2. The Scottish Information Commissioner.	By or under— <ul style="list-style-type: none"><li>(a) the Freedom of Information (Scotland) Act 2002 (asp 13);</li><li>(b) the Environmental Information (Scotland) Regulations 2004 (S.S.I. 2004/520);</li><li>(c) the INSPIRE (Scotland) Regulations 2009 (S.S.I. 2009/440).</li></ul>
3. The Pensions Ombudsman.	By or under Part 10 of the Pension Schemes Act 1993 or any corresponding legislation having equivalent effect in Northern Ireland.
4. The Board of the Pension Protection Fund.	By or under sections 206 to 208 of the Pensions Act 2004 or any corresponding legislation having

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	equivalent effect in Northern Ireland.
5. The Ombudsman for the Board of the Pension Protection Fund.	By or under any of sections 209 to 218 or 286(1) of the Pensions Act 2004 or any corresponding legislation having equivalent effect in Northern Ireland.
6. The Pensions Regulator.	By an enactment.
7. The Financial Conduct Authority.	By or under the Financial Services and Markets Act 2000 or by another enactment.
8. The Financial Ombudsman.	By or under Part 16 of the Financial Services and Markets Act 2000.
9. The investigator of complaints against the financial regulators.	By or under Part 6 of the Financial Services Act 2012.
10. A consumer protection enforcer, other than the Competition and Markets Authority.	By or under the CPC Regulation.
11. The monitoring officer of a relevant authority.	By or under the Local Government and Housing Act 1989.
12. The monitoring officer of a relevant Welsh authority.	By or under the Local Government Act 2000.
13. The Public Services Ombudsman for Wales.	By or under the Local Government Act 2000.
14. The Charity Commission.	By or under— (a) the Charities Act 1992; (b) the Charities Act 2006; (c) the Charities Act 2011.
12	<p>In the Table in paragraph 11—</p> <p>“consumer protection enforcer” has the same meaning as “CPC enforcer” in section 213(5A) of the Enterprise Act 2002;</p> <p>the “CPC Regulation” has the meaning given in section 235A of the Enterprise Act 2002;</p> <p>the “Financial Ombudsman” means the scheme operator within the meaning of Part 16 of the Financial Services and Markets Act 2000 (see section 225 of that Act);</p> <p>the “investigator of complaints against the financial regulators” means the person appointed under section 84(1)(b) of the Financial Services Act 2012;</p> <p>“relevant authority” has the same meaning as in section 5 of the Local Government and Housing Act 1989, and “monitoring officer”, in relation to such an authority, means a person designated as such under that section;</p> <p>“relevant Welsh authority” has the same meaning as “relevant authority” in section 49(6) of the Local Government Act 2000, and</p>



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“monitoring officer”, in relation to such an authority, has the same meaning as in Part 3 of that Act.

VALID FROM 25/05/2018

*Parliamentary privilege*

- 13 The listed GDPR provisions and Article 34(1) and (4) of the GDPR (communication of personal data breach to the data subject) do not apply to personal data where this is required for the purpose of avoiding an infringement of the privileges of either House of Parliament.

VALID FROM 25/05/2018

*Judicial appointments, judicial independence and judicial proceedings*

- 14 (1) The listed GDPR provisions do not apply to personal data processed for the purposes of assessing a person's suitability for judicial office or the office of Queen's Counsel.
- (2) The listed GDPR provisions do not apply to personal data processed by—
- (a) an individual acting in a judicial capacity, or
  - (b) a court or tribunal acting in its judicial capacity.
- (3) As regards personal data not falling within sub-paragraph (1) or (2), the listed GDPR provisions do not apply to the extent that the application of those provisions would be likely to prejudice judicial independence or judicial proceedings.

*Crown honours, dignities and appointments*

- 15 (1) The listed GDPR provisions do not apply to personal data processed for the purposes of the conferring by the Crown of any honour or dignity.
- (2) The listed GDPR provisions do not apply to personal data processed for the purposes of assessing a person's suitability for any of the following offices—
- (a) archbishops and diocesan and suffragan bishops in the Church of England;
  - (b) deans of cathedrals of the Church of England;
  - (c) deans and canons of the two Royal Peculiars;
  - (d) the First and Second Church Estates Commissioners;
  - (e) lord-lieutenants;
  - (f) Masters of Trinity College and Churchill College, Cambridge;
  - (g) the Provost of Eton;
  - (h) the Poet Laureate;
  - (i) the Astronomer Royal.
- (3) The Secretary of State may by regulations amend the list in sub-paragraph (2) to—
- (a) remove an office, or
  - (b) add an office to which appointments are made by Her Majesty.

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- (4) Regulations under sub-paragraph (3) are subject to the affirmative resolution procedure.

#### Commencement Information

**I34** Sch. 2 para. 15 in force at Royal Assent for specified purposes, see s. 212(2)(f)

VALID FROM 25/05/2018

### PART 3

#### RESTRICTION BASED ON ARTICLE 23(1): PROTECTION OF RIGHTS OF OTHERS

##### *Protection of the rights of others: general*

- 16 (1) Article 15(1) to (3) of the GDPR (confirmation of processing, access to data and safeguards for third country transfers), and Article 5 of the GDPR so far as its provisions correspond to the rights and obligations provided for in Article 15(1) to (3), do not oblige a controller to disclose information to the data subject to the extent that doing so would involve disclosing information relating to another individual who can be identified from the information.
- (2) Sub-paragraph (1) does not remove the controller's obligation where—
- (a) the other individual has consented to the disclosure of the information to the data subject, or
  - (b) it is reasonable to disclose the information to the data subject without the consent of the other individual.
- (3) In determining whether it is reasonable to disclose the information without consent, the controller must have regard to all the relevant circumstances, including—
- (a) the type of information that would be disclosed,
  - (b) any duty of confidentiality owed to the other individual,
  - (c) any steps taken by the controller with a view to seeking the consent of the other individual,
  - (d) whether the other individual is capable of giving consent, and
  - (e) any express refusal of consent by the other individual.
- (4) For the purposes of this paragraph—
- (a) “information relating to another individual” includes information identifying the other individual as the source of information;
  - (b) an individual can be identified from information to be provided to a data subject by a controller if the individual can be identified from—
    - (i) that information, or
    - (ii) that information and any other information that the controller reasonably believes the data subject is likely to possess or obtain.

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*Assumption of reasonableness for health workers, social workers and education workers*

- 17 (1) For the purposes of paragraph 16(2)(b), it is to be considered reasonable for a controller to disclose information to a data subject without the consent of the other individual where—
- (a) the health data test is met,
  - (b) the social work data test is met, or
  - (c) the education data test is met.
- (2) The health data test is met if—
- (a) the information in question is contained in a health record, and
  - (b) the other individual is a health professional who has compiled or contributed to the health record or who, in his or her capacity as a health professional, has been involved in the diagnosis, care or treatment of the data subject.
- (3) The social work data test is met if—
- (a) the other individual is—
    - (i) a children's court officer,
    - (ii) a person who is or has been employed by a person or body referred to in paragraph 8 of Schedule 3 in connection with functions exercised in relation to the information, or
    - (iii) a person who has provided for reward a service that is similar to a service provided in the exercise of any relevant social services functions, and
  - (b) the information relates to the other individual in an official capacity or the other individual supplied the information—
    - (i) in an official capacity, or
    - (ii) in a case within paragraph (a)(iii), in connection with providing the service mentioned in paragraph (a)(iii).
- (4) The education data test is met if—
- (a) the other individual is an education-related worker, or
  - (b) the other individual is employed by an education authority (within the meaning of the Education (Scotland) Act 1980) in pursuance of its functions relating to education and—
    - (i) the information relates to the other individual in his or her capacity as such an employee, or
    - (ii) the other individual supplied the information in his or her capacity as such an employee.
- (5) In this paragraph—
- “children's court officer” means a person referred to in paragraph 8(1)(q), (r), (s), (t) or (u) of Schedule 3;
  - “education-related worker” means a person referred to in paragraph 14(4)(a) or (b) or 16(4)(a), (b) or (c) of Schedule 3 (educational records);
  - “relevant social services functions” means functions specified in paragraph 8(1)(a), (b), (c) or (d) of Schedule 3.

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VALID FROM 25/05/2018

## PART 4

### RESTRICTIONS BASED ON ARTICLE 23(1): RESTRICTIONS OF RULES IN ARTICLES 13 TO 15

*GDPR provisions to be restricted: “the listed GDPR provisions”*

18 In this Part of this Schedule, “the listed GDPR provisions” means the following provisions of the GDPR (the rights and obligations in which may be restricted by virtue of Article 23(1) of the GDPR)—

- (a) Article 13(1) to (3) (personal data collected from data subject: information to be provided);
- (b) Article 14(1) to (4) (personal data collected other than from data subject: information to be provided);
- (c) Article 15(1) to (3) (confirmation of processing, access to data and safeguards for third country transfers);
- (d) Article 5 (general principles) so far as its provisions correspond to the rights and obligations provided for in the provisions mentioned in sub-paragraphs (a) to (c).

*Legal professional privilege*

19 The listed GDPR provisions do not apply to personal data that consists of—

- (a) information in respect of which a claim to legal professional privilege or, in Scotland, confidentiality of communications, could be maintained in legal proceedings, or
- (b) information in respect of which a duty of confidentiality is owed by a professional legal adviser to a client of the adviser.

*Self incrimination*

20 (1) A person need not comply with the listed GDPR provisions to the extent that compliance would, by revealing evidence of the commission of an offence, expose the person to proceedings for that offence.

(2) The reference to an offence in sub-paragraph (1) does not include an offence under—

- (a) this Act,
- (b) section 5 of the Perjury Act 1911 (false statements made otherwise than on oath),
- (c) section 44(2) of the Criminal Law (Consolidation) (Scotland) Act 1995 (false statements made otherwise than on oath), or
- (d) Article 10 of the Perjury (Northern Ireland) Order 1979 (S.I. 1979/1714 (N.I. 19)) (false statutory declarations and other false unsworn statements).

(3) Information disclosed by any person in compliance with Article 15 of the GDPR is not admissible against the person in proceedings for an offence under this Act.

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### *Corporate finance*

- 21 (1) The listed GDPR provisions do not apply to personal data processed for the purposes of or in connection with a corporate finance service provided by a relevant person to the extent that either Condition A or Condition B is met.
- (2) Condition A is that the application of the listed GDPR provisions would be likely to affect the price of an instrument.
- (3) Condition B is that—
- (a) the relevant person reasonably believes that the application of the listed GDPR provisions to the personal data in question could affect a decision of a person—
    - (i) whether to deal in, subscribe for or issue an instrument, or
    - (ii) whether to act in a way likely to have an effect on a business activity (such as an effect on the industrial strategy of a person, the capital structure of an undertaking or the legal or beneficial ownership of a business or asset), and
  - (b) the application of the listed GDPR provisions to that personal data would have a prejudicial effect on the orderly functioning of financial markets or the efficient allocation of capital within the economy.
- (4) In this paragraph—
- “corporate finance service” means a service consisting in—
    - (a) underwriting in respect of issues of, or the placing of issues of, any instrument,
    - (b) services relating to such underwriting, or
    - (c) advice to undertakings on capital structure, industrial strategy and related matters and advice and service relating to mergers and the purchase of undertakings;
  - “instrument” means an instrument listed in section C of Annex 1 to Directive [2004/39/EC](#) of the European Parliament and of the Council of 21 April 2004 on markets in financial instruments, and references to an instrument include an instrument not yet in existence but which is to be or may be created;
  - “price” includes value;
  - “relevant person” means—
    - (a) a person who, by reason of a permission under Part 4A of the Financial Services and Markets Act 2000, is able to carry on a corporate finance service without contravening the general prohibition;
    - (b) an EEA firm of the kind mentioned in paragraph 5(a) or (b) of Schedule 3 to that Act which has qualified for authorisation under paragraph 12 of that Schedule, and may lawfully carry on a corporate finance service;
    - (c) a person who is exempt from the general prohibition in respect of any corporate finance service—
      - (i) as a result of an exemption order made under section 38(1) of that Act, or
      - (ii) by reason of section 39(1) of that Act (appointed representatives);

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- (d) a person, not falling within paragraph (a), (b) or (c), who may lawfully carry on a corporate finance service without contravening the general prohibition;
- (e) a person who, in the course of employment, provides to their employer a service falling within paragraph (b) or (c) of the definition of “corporate finance service”;
- (f) a partner who provides to other partners in the partnership a service falling within either of those paragraphs.

- (5) In the definition of “relevant person” in sub-paragraph (4), references to “the general prohibition” are to the general prohibition within the meaning of section 19 of the Financial Services and Markets Act 2000.

#### *Management forecasts*

- 22 The listed GDPR provisions do not apply to personal data processed for the purposes of management forecasting or management planning in relation to a business or other activity to the extent that the application of those provisions would be likely to prejudice the conduct of the business or activity concerned.

#### *Negotiations*

- 23 The listed GDPR provisions do not apply to personal data that consists of records of the intentions of the controller in relation to any negotiations with the data subject to the extent that the application of those provisions would be likely to prejudice those negotiations.

#### *Confidential references*

- 24 The listed GDPR provisions do not apply to personal data consisting of a reference given (or to be given) in confidence for the purposes of—
- (a) the education, training or employment (or prospective education, training or employment) of the data subject,
  - (b) the placement (or prospective placement) of the data subject as a volunteer,
  - (c) the appointment (or prospective appointment) of the data subject to any office, or
  - (d) the provision (or prospective provision) by the data subject of any service.

#### *Exam scripts and exam marks*

- 25 (1) The listed GDPR provisions do not apply to personal data consisting of information recorded by candidates during an exam.
- (2) Where personal data consists of marks or other information processed by a controller—
- (a) for the purposes of determining the results of an exam, or
  - (b) in consequence of the determination of the results of an exam,
- the duty in Article 12(3) or (4) of the GDPR for the controller to provide information requested by the data subject within a certain time period, as it applies to Article 15

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of the GDPR (confirmation of processing, access to data and safeguards for third country transfers), is modified as set out in sub-paragraph (3).

- (3) Where a question arises as to whether the controller is obliged by Article 15 of the GDPR to disclose personal data, and the question arises before the day on which the exam results are announced, the controller must provide the information mentioned in Article 12(3) or (4)—
  - (a) before the end of the period of 5 months beginning when the question arises, or
  - (b) if earlier, before the end of the period of 40 days beginning with the announcement of the results.
- (4) In this paragraph, “exam” means an academic, professional or other examination used for determining the knowledge, intelligence, skill or ability of a candidate and may include an exam consisting of an assessment of the candidate’s performance while undertaking work or any other activity.
- (5) For the purposes of this paragraph, the results of an exam are treated as announced when they are first published or, if not published, first communicated to the candidate.

## PART 5

### EXEMPTIONS ETC BASED ON ARTICLE 85(2) FOR REASONS OF FREEDOM OF EXPRESSION AND INFORMATION

#### *Journalistic, academic, artistic and literary purposes*

- 26 (1) In this paragraph, “the special purposes” means one or more of the following—
- (a) the purposes of journalism;
  - (b) academic purposes;
  - (c) artistic purposes;
  - (d) literary purposes.
- (2) Sub-paragraph (3) applies to the processing of personal data carried out for the special purposes if—
- (a) the processing is being carried out with a view to the publication by a person of journalistic, academic, artistic or literary material, and
  - (b) the controller reasonably believes that the publication of the material would be in the public interest.
- (3) The listed GDPR provisions do not apply to the extent that the controller reasonably believes that the application of those provisions would be incompatible with the special purposes.
- (4) In determining whether publication would be in the public interest the controller must take into account the special importance of the public interest in the freedom of expression and information.
- (5) In determining whether it is reasonable to believe that publication would be in the public interest, the controller must have regard to any of the codes of practice or guidelines listed in sub-paragraph (6) that is relevant to the publication in question.

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- (6) The codes of practice and guidelines are—
- (a) BBC Editorial Guidelines;
  - (b) Ofcom Broadcasting Code;
  - (c) Editors' Code of Practice.
- (7) The Secretary of State may by regulations amend the list in sub-paragraph (6).
- (8) Regulations under sub-paragraph (7) are subject to the affirmative resolution procedure.
- (9) For the purposes of this paragraph, the listed GDPR provisions are the following provisions of the GDPR (which may be exempted or derogated from by virtue of Article 85(2) of the GDPR)—
- (a) in Chapter II of the GDPR (principles)—
    - (i) Article 5(1)(a) to (e) (principles relating to processing);
    - (ii) Article 6 (lawfulness);
    - (iii) Article 7 (conditions for consent);
    - (iv) Article 8(1) and (2) (child's consent);
    - (v) Article 9 (processing of special categories of data);
    - (vi) Article 10 (data relating to criminal convictions etc);
    - (vii) Article 11(2) (processing not requiring identification);
  - (b) in Chapter III of the GDPR (rights of the data subject)—
    - (i) Article 13(1) to (3) (personal data collected from data subject: information to be provided);
    - (ii) Article 14(1) to (4) (personal data collected other than from data subject: information to be provided);
    - (iii) Article 15(1) to (3) (confirmation of processing, access to data and safeguards for third country transfers);
    - (iv) Article 16 (right to rectification);
    - (v) Article 17(1) and (2) (right to erasure);
    - (vi) Article 18(1)(a), (b) and (d) (restriction of processing);
    - (vii) Article 19 (notification obligation regarding rectification or erasure of personal data or restriction of processing);
    - (viii) Article 20(1) and (2) (right to data portability);
    - (ix) Article 21(1) (objections to processing);
  - (c) in Chapter IV of the GDPR (controller and processor)—
    - (i) Article 34(1) and (4) (communication of personal data breach to the data subject);
    - (ii) Article 36 (requirement for controller to consult Commissioner prior to high risk processing);
  - (d) in Chapter V of the GDPR (transfers of data to third countries etc), Article 44 (general principles for transfers);
  - (e) in Chapter VII of the GDPR (co-operation and consistency)—
    - (i) Articles 60 to 62 (co-operation);
    - (ii) Articles 63 to 67 (consistency).



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### Commencement Information

**I35** Sch. 2 para. 26 in force at Royal Assent for specified purposes, see s. 212(2)(f)

VALID FROM 25/05/2018

## PART 6

### DEROGATIONS ETC BASED ON ARTICLE 89 FOR RESEARCH, STATISTICS AND ARCHIVING

#### *Research and statistics*

- 27 (1) The listed GDPR provisions do not apply to personal data processed for—
- (a) scientific or historical research purposes, or
  - (b) statistical purposes,
- to the extent that the application of those provisions would prevent or seriously impair the achievement of the purposes in question.
- This is subject to sub-paragraph (3).
- (2) For the purposes of this paragraph, the listed GDPR provisions are the following provisions of the GDPR (the rights in which may be derogated from by virtue of Article 89(2) of the GDPR)—
- (a) Article 15(1) to (3) (confirmation of processing, access to data and safeguards for third country transfers);
  - (b) Article 16 (right to rectification);
  - (c) Article 18(1) (restriction of processing);
  - (d) Article 21(1) (objections to processing).
- (3) The exemption in sub-paragraph (1) is available only where—
- (a) the personal data is processed in accordance with Article 89(1) of the GDPR (as supplemented by section 19), and
  - (b) as regards the disapplication of Article 15(1) to (3), the results of the research or any resulting statistics are not made available in a form which identifies a data subject.

### Commencement Information

**I36** Sch. 2 para. 27 in force at 25.5.2018 by S.I. 2018/625, reg. 2(1)(b)

#### *Archiving in the public interest*

- 28 (1) The listed GDPR provisions do not apply to personal data processed for archiving purposes in the public interest to the extent that the application of those provisions would prevent or seriously impair the achievement of those purposes.
- This is subject to sub-paragraph (3).

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- (2) For the purposes of this paragraph, the listed GDPR provisions are the following provisions of the GDPR (the rights in which may be derogated from by virtue of Article 89(3) of the GDPR)—
  - (a) Article 15(1) to (3) (confirmation of processing, access to data and safeguards for third country transfers);
  - (b) Article 16 (right to rectification);
  - (c) Article 18(1) (restriction of processing);
  - (d) Article 19 (notification obligation regarding rectification or erasure of personal data or restriction of processing);
  - (e) Article 20(1) (right to data portability);
  - (f) Article 21(1) (objections to processing).
- (3) The exemption in sub-paragraph (1) is available only where the personal data is processed in accordance with Article 89(1) of the GDPR (as supplemented by section 19).

**Commencement Information**

**I37** Sch. 2 para. 28 in force at 25.5.2018 by [S.I. 2018/625, reg. 2\(1\)\(b\)](#)

VALID FROM 25/05/2018

SCHEDULE 3

Section 15

EXEMPTIONS ETC FROM THE GDPR: HEALTH,  
SOCIAL WORK, EDUCATION AND CHILD ABUSE DATA

VALID FROM 25/05/2018

SCHEDULE 4

Section 15

EXEMPTIONS ETC FROM THE GDPR: DISCLOSURE  
PROHIBITED OR RESTRICTED BY AN ENACTMENT

**Status:** Point in time view as at 23/05/2018. This version of this Act contains provisions that are not valid for this point in time.

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VALID FROM 25/05/2018

SCHEDULE 5

Section 17

ACCREDITATION OF CERTIFICATION PROVIDERS: REVIEWS AND APPEALS

.....

VALID FROM 25/05/2018

SCHEDULE 6

Section 22

THE APPLIED GDPR AND THE APPLIED CHAPTER 2

.....

VALID FROM 25/05/2018

SCHEDULE 7

Section 30

COMPETENT AUTHORITIES

.....

VALID FROM 25/05/2018

SCHEDULE 8

Section 35(5)

CONDITIONS FOR SENSITIVE PROCESSING UNDER PART 3

*Statutory etc purposes*

- 1 This condition is met if the processing—
- (a) is necessary for the exercise of a function conferred on a person by an enactment or rule of law, and
  - (b) is necessary for reasons of substantial public interest.

*Administration of justice*

- 2 This condition is met if the processing is necessary for the administration of justice.

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*Protecting individual's vital interests*

- 3 This condition is met if the processing is necessary to protect the vital interests of the data subject or of another individual.

*Safeguarding of children and of individuals at risk*

- 4 (1) This condition is met if—
- (a) the processing is necessary for the purposes of—
    - (i) protecting an individual from neglect or physical, mental or emotional harm, or
    - (ii) protecting the physical, mental or emotional well-being of an individual,
  - (b) the individual is—
    - (i) aged under 18, or
    - (ii) aged 18 or over and at risk,
  - (c) the processing is carried out without the consent of the data subject for one of the reasons listed in sub-paragraph (2), and
  - (d) the processing is necessary for reasons of substantial public interest.
- (2) The reasons mentioned in sub-paragraph (1)(c) are—
- (a) in the circumstances, consent to the processing cannot be given by the data subject;
  - (b) in the circumstances, the controller cannot reasonably be expected to obtain the consent of the data subject to the processing;
  - (c) the processing must be carried out without the consent of the data subject because obtaining the consent of the data subject would prejudice the provision of the protection mentioned in sub-paragraph (1)(a).
- (3) For the purposes of this paragraph, an individual aged 18 or over is “at risk” if the controller has reasonable cause to suspect that the individual—
- (a) has needs for care and support,
  - (b) is experiencing, or at risk of, neglect or physical, mental or emotional harm, and
  - (c) as a result of those needs is unable to protect himself or herself against the neglect or harm or the risk of it.
- (4) In sub-paragraph (1)(a), the reference to the protection of an individual or of the well-being of an individual includes both protection relating to a particular individual and protection relating to a type of individual.

*Personal data already in the public domain*

- 5 This condition is met if the processing relates to personal data which is manifestly made public by the data subject.

*Legal claims*

- 6 This condition is met if the processing—
- (a) is necessary for the purpose of, or in connection with, any legal proceedings (including prospective legal proceedings),
  - (b) is necessary for the purpose of obtaining legal advice, or

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- (c) is otherwise necessary for the purposes of establishing, exercising or defending legal rights.

*Judicial acts*

- 7 This condition is met if the processing is necessary when a court or other judicial authority is acting in its judicial capacity.

*Preventing fraud*

- 8 (1) This condition is met if the processing—
- (a) is necessary for the purposes of preventing fraud or a particular kind of fraud, and
  - (b) consists of—
    - (i) the disclosure of personal data by a competent authority as a member of an anti-fraud organisation,
    - (ii) the disclosure of personal data by a competent authority in accordance with arrangements made by an anti-fraud organisation, or
    - (iii) the processing of personal data disclosed as described in subparagraph (i) or (ii).
- (2) In this paragraph, “anti-fraud organisation” has the same meaning as in section 68 of the Serious Crime Act 2007.

*Archiving etc*

- 9 This condition is met if the processing is necessary—
- (a) for archiving purposes in the public interest,
  - (b) for scientific or historical research purposes, or
  - (c) for statistical purposes.

VALID FROM 25/05/2018

SCHEDULE 9

Section 86

CONDITIONS FOR PROCESSING UNDER PART 4

- 1 The data subject has given consent to the processing.
- 2 The processing is necessary—
- (a) for the performance of a contract to which the data subject is a party, or
  - (b) in order to take steps at the request of the data subject prior to entering into a contract.
- 3 The processing is necessary for compliance with a legal obligation to which the controller is subject, other than an obligation imposed by contract.
- 4 The processing is necessary in order to protect the vital interests of the data subject or of another individual.

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- 5 The processing is necessary—
- (a) for the administration of justice,
  - (b) for the exercise of any functions of either House of Parliament,
  - (c) for the exercise of any functions conferred on a person by an enactment or rule of law,
  - (d) for the exercise of any functions of the Crown, a Minister of the Crown or a government department, or
  - (e) for the exercise of any other functions of a public nature exercised in the public interest by a person.
- 6 (1) The processing is necessary for the purposes of legitimate interests pursued by—
- (a) the controller, or
  - (b) the third party or parties to whom the data is disclosed.
- (2) Sub-paragraph (1) does not apply where the processing is unwarranted in any particular case because of prejudice to the rights and freedoms or legitimate interests of the data subject.
- (3) In this paragraph, “third party”, in relation to personal data, means a person other than the data subject, the controller or a processor or other person authorised to process personal data for the controller or processor.

VALID FROM 25/05/2018

SCHEDULE 10

Section 86

CONDITIONS FOR SENSITIVE PROCESSING UNDER PART 4

*Consent to particular processing*

- 1 The data subject has given consent to the processing.

*Right or obligation relating to employment*

- 2 The processing is necessary for the purposes of exercising or performing any right or obligation which is conferred or imposed by an enactment or rule of law on the controller in connection with employment.

*Vital interests of a person*

- 3 The processing is necessary—
- (a) in order to protect the vital interests of the data subject or of another person, in a case where—
    - (i) consent cannot be given by or on behalf of the data subject, or
    - (ii) the controller cannot reasonably be expected to obtain the consent of the data subject, or

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- (b) in order to protect the vital interests of another person, in a case where consent by or on behalf of the data subject has been unreasonably withheld.

*Safeguarding of children and of individuals at risk*

- 4 (1) This condition is met if—
- (a) the processing is necessary for the purposes of—
    - (i) protecting an individual from neglect or physical, mental or emotional harm, or
    - (ii) protecting the physical, mental or emotional well-being of an individual,
  - (b) the individual is—
    - (i) aged under 18, or
    - (ii) aged 18 or over and at risk,
  - (c) the processing is carried out without the consent of the data subject for one of the reasons listed in sub-paragraph (2), and
  - (d) the processing is necessary for reasons of substantial public interest.
- (2) The reasons mentioned in sub-paragraph (1)(c) are—
- (a) in the circumstances, consent to the processing cannot be given by the data subject;
  - (b) in the circumstances, the controller cannot reasonably be expected to obtain the consent of the data subject to the processing;
  - (c) the processing must be carried out without the consent of the data subject because obtaining the consent of the data subject would prejudice the provision of the protection mentioned in sub-paragraph (1)(a).
- (3) For the purposes of this paragraph, an individual aged 18 or over is “at risk” if the controller has reasonable cause to suspect that the individual—
- (a) has needs for care and support,
  - (b) is experiencing, or at risk of, neglect or physical, mental or emotional harm, and
  - (c) as a result of those needs is unable to protect himself or herself against the neglect or harm or the risk of it.
- (4) In sub-paragraph (1)(a), the reference to the protection of an individual or of the well-being of an individual includes both protection relating to a particular individual and protection relating to a type of individual.

*Data already published by data subject*

- 5 The information contained in the personal data has been made public as a result of steps deliberately taken by the data subject.

*Legal proceedings etc*

- 6 The processing—
- (a) is necessary for the purpose of, or in connection with, any legal proceedings (including prospective legal proceedings),
  - (b) is necessary for the purpose of obtaining legal advice, or

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- (c) is otherwise necessary for the purposes of establishing, exercising or defending legal rights.

*Administration of justice, parliamentary, statutory etc and government purposes*

- 7 The processing is necessary—
- (a) for the administration of justice,
  - (b) for the exercise of any functions of either House of Parliament,
  - (c) for the exercise of any functions conferred on any person by an enactment or rule of law, or
  - (d) for the exercise of any functions of the Crown, a Minister of the Crown or a government department.

*Medical purposes*

- 8 (1) The processing is necessary for medical purposes and is undertaken by—
- (a) a health professional, or
  - (b) a person who in the circumstances owes a duty of confidentiality which is equivalent to that which would arise if that person were a health professional.
- (2) In this paragraph, “medical purposes” includes the purposes of preventative medicine, medical diagnosis, medical research, the provision of care and treatment and the management of healthcare services.

*Equality*

- 9 (1) The processing—
- (a) is of sensitive personal data consisting of information as to racial or ethnic origin,
  - (b) is necessary for the purpose of identifying or keeping under review the existence or absence of equality of opportunity or treatment between persons of different racial or ethnic origins, with a view to enabling such equality to be promoted or maintained, and
  - (c) is carried out with appropriate safeguards for the rights and freedoms of data subjects.
- (2) In this paragraph, “sensitive personal data” means personal data the processing of which constitutes sensitive processing (see section 86(7)).



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VALID FROM 25/05/2018

## SCHEDULE 11

Section 112

### OTHER EXEMPTIONS UNDER PART 4

#### *Preliminary*

- 1 In this Schedule, “the listed provisions” means—
- (a) Chapter 2 of Part 4 (the data protection principles), except section 86(1) (a) and (2) and Schedules 9 and 10;
  - (b) Chapter 3 of Part 4 (rights of data subjects);
  - (c) in Chapter 4 of Part 4, section 108 (communication of personal data breach to the Commissioner).

#### *Crime*

- 2 The listed provisions do not apply to personal data processed for any of the following purposes—
- (a) the prevention and detection of crime, or
  - (b) the apprehension and prosecution of offenders,
- to the extent that the application of the listed provisions would be likely to prejudice any of the matters mentioned in paragraph (a) or (b).

#### *Information required to be disclosed by law etc or in connection with legal proceedings*

- 3
- (1) The listed provisions do not apply to personal data consisting of information that the controller is obliged by an enactment to make available to the public, to the extent that the application of the listed provisions would prevent the controller from complying with that obligation.
  - (2) The listed provisions do not apply to personal data where disclosure of the data is required by an enactment, a rule of law or the order of a court, to the extent that the application of the listed provisions would prevent the controller from making the disclosure.
  - (3) The listed provisions do not apply to personal data where disclosure of the data—
    - (a) is necessary for the purpose of, or in connection with, legal proceedings (including prospective legal proceedings),
    - (b) is necessary for the purpose of obtaining legal advice, or
    - (c) is otherwise necessary for the purposes of establishing, exercising or defending legal rights,to the extent that the application of the listed provisions would prevent the controller from making the disclosure.

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*Parliamentary privilege*

- 4 The listed provisions do not apply to personal data where this is required for the purpose of avoiding an infringement of the privileges of either House of Parliament.

*Judicial proceedings*

- 5 The listed provisions do not apply to personal data to the extent that the application of the listed provisions would be likely to prejudice judicial proceedings.

*Crown honours and dignities*

- 6 The listed provisions do not apply to personal data processed for the purposes of the conferring by the Crown of any honour or dignity.

*Armed forces*

- 7 The listed provisions do not apply to personal data to the extent that the application of the listed provisions would be likely to prejudice the combat effectiveness of any of the armed forces of the Crown.

*Economic well-being*

- 8 The listed provisions do not apply to personal data to the extent that the application of the listed provisions would be likely to prejudice the economic well-being of the United Kingdom.

*Legal professional privilege*

- 9 The listed provisions do not apply to personal data that consists of—
- (a) information in respect of which a claim to legal professional privilege or, in Scotland, confidentiality of communications, could be maintained in legal proceedings, or
  - (b) information in respect of which a duty of confidentiality is owed by a professional legal adviser to a client of the adviser.

*Negotiations*

- 10 The listed provisions do not apply to personal data that consists of records of the intentions of the controller in relation to any negotiations with the data subject to the extent that the application of the listed provisions would be likely to prejudice the negotiations.

*Confidential references given by the controller*

- 11 The listed provisions do not apply to personal data consisting of a reference given (or to be given) in confidence by the controller for the purposes of—
- (a) the education, training or employment (or prospective education, training or employment) of the data subject,
  - (b) the appointment (or prospective appointment) of the data subject to any office, or

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- (c) the provision (or prospective provision) by the data subject of any service.

*Exam scripts and marks*

- 12 (1) The listed provisions do not apply to personal data consisting of information recorded by candidates during an exam.
- (2) Where personal data consists of marks or other information processed by a controller—
- (a) for the purposes of determining the results of an exam, or
- (b) in consequence of the determination of the results of an exam, section 94 has effect subject to sub-paragraph (3).
- (3) Where the relevant time falls before the results of the exam are announced, the period mentioned in section 94(10)(b) is extended until the earlier of—
- (a) the end of the period of 5 months beginning with the relevant time, and
- (b) the end of the period of 40 days beginning with the announcement of the results.
- (4) In this paragraph—
- “exam” means an academic, professional or other examination used for determining the knowledge, intelligence, skill or ability of a candidate and may include an exam consisting of an assessment of the candidate’s performance while undertaking work or any other activity;
- “the relevant time” has the same meaning as in section 94.
- (5) For the purposes of this paragraph, the results of an exam are treated as announced when they are first published or, if not published, first communicated to the candidate.

*Research and statistics*

- 13 (1) The listed provisions do not apply to personal data processed for—
- (a) scientific or historical research purposes, or
- (b) statistical purposes,
- to the extent that the application of those provisions would prevent or seriously impair the achievement of the purposes in question.
- (2) The exemption in sub-paragraph (1) is available only where—
- (a) the personal data is processed subject to appropriate safeguards for the rights and freedoms of data subjects, and
- (b) the results of the research or any resulting statistics are not made available in a form which identifies a data subject.

*Archiving in the public interest*

- 14 (1) The listed provisions do not apply to personal data processed for archiving purposes in the public interest to the extent that the application of those provisions would prevent or seriously impair the achievement of those purposes.

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- (2) The exemption in sub-paragraph (1) is available only where the personal data is processed subject to appropriate safeguards for the rights and freedoms of data subjects.

VALID FROM 25/05/2018

## SCHEDULE 12

Section 114

### THE INFORMATION COMMISSIONER

#### *Status and capacity*

- 1 (1) The Commissioner is to continue to be a corporation sole.
- (2) The Commissioner and the Commissioner's officers and staff are not to be regarded as servants or agents of the Crown.

#### *Appointment*

- 2 (1) The Commissioner is to be appointed by Her Majesty by Letters Patent.
- (2) No recommendation may be made to Her Majesty for the appointment of a person as the Commissioner unless the person concerned has been selected on merit on the basis of fair and open competition.
- (3) The Commissioner is to hold office for such term not exceeding 7 years as may be determined at the time of the Commissioner's appointment, subject to paragraph 3.
- (4) A person cannot be appointed as the Commissioner more than once.

#### *Resignation and removal*

- 3 (1) The Commissioner may be relieved of office by Her Majesty at the Commissioner's own request.
- (2) The Commissioner may be removed from office by Her Majesty on an Address from both Houses of Parliament.
- (3) No motion is to be made in either House of Parliament for such an Address unless a Minister of the Crown has presented a report to that House stating that the Minister is satisfied that one or both of the following grounds is made out—
- (a) the Commissioner is guilty of serious misconduct;
  - (b) the Commissioner no longer fulfils the conditions required for the performance of the Commissioner's functions.

#### *Salary etc*

- 4 (1) The Commissioner is to be paid such salary as may be specified by a resolution of the House of Commons.

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- (2) There is to be paid in respect of the Commissioner such pension as may be specified by a resolution of the House of Commons.
- (3) A resolution for the purposes of this paragraph may—
  - (a) specify the salary or pension,
  - (b) specify the salary or pension and provide for it to be increased by reference to such variables as may be specified in the resolution, or
  - (c) provide that the salary or pension is to be the same as, or calculated on the same basis as, that payable to, or in respect of, a person employed in a specified office under, or in a specified capacity in the service of, the Crown.
- (4) A resolution for the purposes of this paragraph may take effect from—
  - (a) the date on which it is passed, or
  - (b) from an earlier date or later date specified in the resolution.
- (5) A resolution for the purposes of this paragraph may make different provision in relation to the pension payable to, or in respect of, different holders of the office of Commissioner.
- (6) A salary or pension payable under this paragraph is to be charged on and issued out of the Consolidated Fund.
- (7) In this paragraph, “pension” includes an allowance or gratuity and a reference to the payment of a pension includes a reference to the making of payments towards the provision of a pension.

#### *Officers and staff*

- 5 (1) The Commissioner—
  - (a) must appoint one or more deputy commissioners, and
  - (b) may appoint other officers and staff.
- (2) The Commissioner is to determine the remuneration and other conditions of service of people appointed under this paragraph.
- (3) The Commissioner may pay pensions, allowances or gratuities to, or in respect of, people appointed under this paragraph, including pensions, allowances or gratuities paid by way of compensation in respect of loss of office or employment.
- (4) The references in sub-paragraph (3) to paying pensions, allowances or gratuities includes making payments towards the provision of pensions, allowances or gratuities.
- (5) In making appointments under this paragraph, the Commissioner must have regard to the principle of selection on merit on the basis of fair and open competition.
- (6) The Employers' Liability (Compulsory Insurance) Act 1969 does not require insurance to be effected by the Commissioner.

#### *Carrying out of the Commissioner's functions by officers and staff*

- 6 (1) The functions of the Commissioner are to be carried out by the deputy commissioner or deputy commissioners if—

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- (a) there is a vacancy in the office of the Commissioner, or
  - (b) the Commissioner is for any reason unable to act.
- (2) When the Commissioner appoints a second or subsequent deputy commissioner, the Commissioner must specify which deputy commissioner is to carry out which of the Commissioner's functions in the circumstances referred to in sub-paragraph (1).
- (3) A function of the Commissioner may, to the extent authorised by the Commissioner, be carried out by any of the Commissioner's officers or staff.

*Authentication of the seal of the Commissioner*

- 7 The application of the seal of the Commissioner is to be authenticated by—
- (a) the Commissioner's signature, or
  - (b) the signature of another person authorised for the purpose.

*Presumption of authenticity of documents issued by the Commissioner*

- 8 A document purporting to be an instrument issued by the Commissioner and to be—
- (a) duly executed under the Commissioner's seal, or
  - (b) signed by or on behalf of the Commissioner,
- is to be received in evidence and is to be deemed to be such an instrument unless the contrary is shown.

*Money*

- 9 The Secretary of State may make payments to the Commissioner out of money provided by Parliament.

*Fees etc and other sums*

- 10 (1) All fees, charges, penalties and other sums received by the Commissioner in carrying out the Commissioner's functions are to be paid by the Commissioner to the Secretary of State.
- (2) Sub-paragraph (1) does not apply where the Secretary of State, with the consent of the Treasury, otherwise directs.
- (3) Any sums received by the Secretary of State under sub-paragraph (1) are to be paid into the Consolidated Fund.

*Accounts*

- 11 (1) The Commissioner must—
- (a) keep proper accounts and other records in relation to the accounts, and
  - (b) prepare in respect of each financial year a statement of account in such form as the Secretary of State may direct.
- (2) The Commissioner must send a copy of the statement to the Comptroller and Auditor General—
- (a) on or before 31 August next following the end of the year to which the statement relates, or

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- (b) on or before such earlier date after the end of that year as the Treasury may direct.
- (3) The Comptroller and Auditor General must examine, certify and report on the statement.
- (4) The Commissioner must arrange for copies of the statement and the Comptroller and Auditor General's report to be laid before Parliament.
- (5) In this paragraph, “financial year” means a period of 12 months beginning with 1 April.
- Scotland*
- 12 Paragraphs 1(1), 7 and 8 do not extend to Scotland.

VALID FROM 25/05/2018	
SCHEDULE 13	Section 116
OTHER GENERAL FUNCTIONS OF THE COMMISSIONER	
.....	

VALID FROM 25/05/2018	
SCHEDULE 14	Section 118
CO-OPERATION AND MUTUAL ASSISTANCE	
.....	

VALID FROM 25/05/2018	
SCHEDULE 15	Section 154
POWERS OF ENTRY AND INSPECTION	
<i>Issue of warrants in connection with non-compliance and offences</i>	
1	(1) This paragraph applies if a judge of the High Court, a circuit judge or a District Judge (Magistrates' Courts) is satisfied by information on oath supplied by the Commissioner that—
	(a) there are reasonable grounds for suspecting that—

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- (i) a controller or processor has failed or is failing as described in section 149(2), or
- (ii) an offence under this Act has been or is being committed, and
- (b) there are reasonable grounds for suspecting that evidence of the failure or of the commission of the offence is to be found on premises specified in the information or is capable of being viewed using equipment on such premises.

(2) The judge may grant a warrant to the Commissioner.

*Issue of warrants in connection with assessment notices*

- 2
- (1) This paragraph applies if a judge of the High Court, a circuit judge or a District Judge (Magistrates' Courts) is satisfied by information on oath supplied by the Commissioner that a controller or processor has failed to comply with a requirement imposed by an assessment notice.
  - (2) The judge may, for the purpose of enabling the Commissioner to determine whether the controller or processor has complied or is complying with the data protection legislation, grant a warrant to the Commissioner in relation to premises that were specified in the assessment notice.

*Restrictions on issuing warrants: processing for the special purposes*

- 3
- A judge must not issue a warrant under this Schedule in respect of personal data processed for the special purposes unless a determination under section 174 with respect to the data or the processing has taken effect.

*Restrictions on issuing warrants: procedural requirements*

- 4
- (1) A judge must not issue a warrant under this Schedule unless satisfied that—
    - (a) the conditions in sub-paragraphs (2) to (4) are met,
    - (b) compliance with those conditions would defeat the object of entry to the premises in question, or
    - (c) the Commissioner requires access to the premises in question urgently.
  - (2) The first condition is that the Commissioner has given 7 days' notice in writing to the occupier of the premises in question demanding access to the premises.
  - (3) The second condition is that—
    - (a) access to the premises was demanded at a reasonable hour and was unreasonably refused, or
    - (b) entry to the premises was granted but the occupier unreasonably refused to comply with a request by the Commissioner or the Commissioner's officers or staff to be allowed to do any of the things referred to in paragraph 5.
  - (4) The third condition is that, since the refusal, the occupier of the premises—
    - (a) has been notified by the Commissioner of the application for the warrant, and
    - (b) has had an opportunity to be heard by the judge on the question of whether or not the warrant should be issued.



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- (5) In determining whether the first condition is met, an assessment notice given to the occupier is to be disregarded.

#### *Content of warrants*

- 5 (1) A warrant issued under this Schedule must authorise the Commissioner or any of the Commissioner's officers or staff—
- (a) to enter the premises,
  - (b) to search the premises, and
  - (c) to inspect, examine, operate and test any equipment found on the premises which is used or intended to be used for the processing of personal data.
- (2) A warrant issued under paragraph 1 must authorise the Commissioner or any of the Commissioner's officers or staff—
- (a) to inspect and seize any documents or other material found on the premises which may be evidence of the failure or offence mentioned in that paragraph,
  - (b) to require any person on the premises to provide, in an appropriate form, a copy of information capable of being viewed using equipment on the premises which may be evidence of that failure or offence,
  - (c) to require any person on the premises to provide an explanation of any document or other material found on the premises and of any information capable of being viewed using equipment on the premises, and
  - (d) to require any person on the premises to provide such other information as may reasonably be required for the purpose of determining whether the controller or processor has failed or is failing as described in section 149(2).
- (3) A warrant issued under paragraph 2 must authorise the Commissioner or any of the Commissioner's officers or staff—
- (a) to inspect and seize any documents or other material found on the premises which may enable the Commissioner to determine whether the controller or processor has complied or is complying with the data protection legislation,
  - (b) to require any person on the premises to provide, in an appropriate form, a copy of information capable of being viewed using equipment on the premises which may enable the Commissioner to make such a determination,
  - (c) to require any person on the premises to provide an explanation of any document or other material found on the premises and of any information capable of being viewed using equipment on the premises, and
  - (d) to require any person on the premises to provide such other information as may reasonably be required for the purpose of determining whether the controller or processor has complied or is complying with the data protection legislation.
- (4) A warrant issued under this Schedule must authorise the Commissioner or any of the Commissioner's officers or staff to do the things described in sub-paragraphs (1) to (3) at any time in the period of 7 days beginning with the day on which the warrant is issued.
- (5) For the purposes of this paragraph, a copy of information is in an “appropriate form” if —

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- (a) it can be taken away, and
- (b) it is visible and legible or it can readily be made visible and legible.

*Copies of warrants*

- 6 A judge who issues a warrant under this Schedule must—
- (a) issue two copies of it, and
  - (b) certify them clearly as copies.

*Execution of warrants: reasonable force*

- 7 A person executing a warrant issued under this Schedule may use such reasonable force as may be necessary.

*Execution of warrants: time when executed*

- 8 A warrant issued under this Schedule may be executed only at a reasonable hour, unless it appears to the person executing it that there are grounds for suspecting that exercising it at a reasonable hour would defeat the object of the warrant.

*Execution of warrants: occupier of premises*

- 9 (1) If an occupier of the premises in respect of which a warrant is issued under this Schedule is present when the warrant is executed, the person executing the warrant must—
- (a) show the occupier the warrant, and
  - (b) give the occupier a copy of it.
- (2) Otherwise, a copy of the warrant must be left in a prominent place on the premises.

*Execution of warrants: seizure of documents etc*

- 10 (1) This paragraph applies where a person executing a warrant under this Schedule seizes something.
- (2) The person must, on request—
- (a) give a receipt for it, and
  - (b) give an occupier of the premises a copy of it.
- (3) Sub-paragraph (2)(b) does not apply if the person executing the warrant considers that providing a copy would result in undue delay.
- (4) Anything seized may be retained for so long as is necessary in all the circumstances.

*Matters exempt from inspection and seizure: privileged communications*

- 11 (1) The powers of inspection and seizure conferred by a warrant issued under this Schedule are not exercisable in respect of a communication which is made—
- (a) between a professional legal adviser and the adviser's client, and
  - (b) in connection with the giving of legal advice to the client with respect to obligations, liabilities or rights under the data protection legislation.

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- (2) The powers of inspection and seizure conferred by a warrant issued under this Schedule are not exercisable in respect of a communication which is made—
- (a) between a professional legal adviser and the adviser's client or between such an adviser or client and another person,
  - (b) in connection with or in contemplation of proceedings under or arising out of the data protection legislation, and
  - (c) for the purposes of such proceedings.
- (3) Sub-paragraphs (1) and (2) do not prevent the exercise of powers conferred by a warrant issued under this Schedule in respect of—
- (a) anything in the possession of a person other than the professional legal adviser or the adviser's client, or
  - (b) anything held with the intention of furthering a criminal purpose.
- (4) The references to a communication in sub-paragraphs (1) and (2) include—
- (a) a copy or other record of the communication, and
  - (b) anything enclosed with or referred to in the communication if made as described in sub-paragraph (1)(b) or in sub-paragraph (2)(b) and (c).
- (5) In sub-paragraphs (1) to (3), the references to the client of a professional legal adviser include a person acting on behalf of such a client.

*Matters exempt from inspection and seizure: Parliamentary privilege*

- 12 The powers of inspection and seizure conferred by a warrant issued under this Schedule are not exercisable where their exercise would involve an infringement of the privileges of either House of Parliament.

*Partially exempt material*

- 13 (1) This paragraph applies if a person in occupation of premises in respect of which a warrant is issued under this Schedule objects to the inspection or seizure of any material under the warrant on the grounds that it consists partly of matters in respect of which those powers are not exercisable.
- (2) The person must, if the person executing the warrant so requests, provide that person with a copy of so much of the material as is not exempt from those powers.

*Return of warrants*

- 14 (1) Where a warrant issued under this Schedule is executed—
- (a) it must be returned to the court from which it was issued after being executed, and
  - (b) the person by whom it is executed must write on the warrant a statement of the powers that have been exercised under the warrant.
- (2) Where a warrant issued under this Schedule is not executed, it must be returned to the court from which it was issued within the time authorised for its execution.

*Offences*

- 15 (1) It is an offence for a person—

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- (a) intentionally to obstruct a person in the execution of a warrant issued under this Schedule, or
- (b) to fail without reasonable excuse to give a person executing such a warrant such assistance as the person may reasonably require for the execution of the warrant.

(2) It is an offence for a person—

- (a) to make a statement in response to a requirement under paragraph 5(2)(c) or (d) or (3)(c) or (d) which the person knows to be false in a material respect, or
- (b) recklessly to make a statement in response to such a requirement which is false in a material respect.

#### *Self-incrimination*

16 (1) An explanation given, or information provided, by a person in response to a requirement under paragraph 5(2)(c) or (d) or (3)(c) or (d) may only be used in evidence against that person—

- (a) on a prosecution for an offence under a provision listed in subparagraph (2), or
- (b) on a prosecution for any other offence where—
  - (i) in giving evidence that person makes a statement inconsistent with that explanation or information, and
  - (ii) evidence relating to that explanation or information is adduced, or a question relating to it is asked, by that person or on that person's behalf.

(2) Those provisions are—

- (a) paragraph 15,
- (b) section 5 of the Perjury Act 1911 (false statements made otherwise than on oath),
- (c) section 44(2) of the Criminal Law (Consolidation) (Scotland) Act 1995 (false statements made otherwise than on oath), or
- (d) Article 10 of the Perjury (Northern Ireland) Order 1979 (S.I. 1979/1714 (N.I. 19)) (false statutory declarations and other false unsworn statements).

#### *Vessels, vehicles etc*

17 In this Schedule—

- (a) “premises” includes a vehicle, vessel or other means of transport, and
- (b) references to the occupier of premises include the person in charge of a vehicle, vessel or other means of transport.

#### *Scotland*

18 In the application of this Schedule to Scotland—

- (a) references to a judge of the High Court have effect as if they were references to a judge of the Court of Session,
- (b) references to a circuit judge have effect as if they were references to the sheriff or the summary sheriff,

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- (c) references to information on oath have effect as if they were references to evidence on oath, and
- (d) references to the court from which the warrant was issued have effect as if they were references to the sheriff clerk.

*Northern Ireland*

- 19 In the application of this Schedule to Northern Ireland—
- (a) references to a circuit judge have effect as if they were references to a county court judge, and
  - (b) references to information on oath have effect as if they were references to a complaint on oath.

VALID FROM 25/05/2018

SCHEDULE 16

Section 155

PENALTIES

*Meaning of “penalty”*

- 1 In this Schedule, “penalty” means a penalty imposed by a penalty notice.

*Notice of intent to impose penalty*

- 2 (1) Before giving a person a penalty notice, the Commissioner must, by written notice (a “notice of intent”) inform the person that the Commissioner intends to give a penalty notice.
- (2) The Commissioner may not give a penalty notice to a person in reliance on a notice of intent after the end of the period of 6 months beginning when the notice of intent is given, subject to sub-paragraph (3).
- (3) The period for giving a penalty notice to a person may be extended by agreement between the Commissioner and the person.

*Contents of notice of intent*

- 3 (1) A notice of intent must contain the following information—
- (a) the name and address of the person to whom the Commissioner proposes to give a penalty notice;
  - (b) the reasons why the Commissioner proposes to give a penalty notice (see sub-paragraph (2));
  - (c) an indication of the amount of the penalty the Commissioner proposes to impose, including any aggravating or mitigating factors that the Commissioner proposes to take into account.
- (2) The information required under sub-paragraph (1)(b) includes—
- (a) a description of the circumstances of the failure, and

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(b) where the notice is given in respect of a failure described in section 149(2), the nature of the personal data involved in the failure.

(3) A notice of intent must also—

- (a) state that the person may make written representations about the Commissioner's intention to give a penalty notice, and
- (b) specify the period within which such representations may be made.

(4) The period specified for making written representations must be a period of not less than 21 days beginning when the notice of intent is given.

(5) If the Commissioner considers that it is appropriate for the person to have an opportunity to make oral representations about the Commissioner's intention to give a penalty notice, the notice of intent must also—

- (a) state that the person may make such representations, and
- (b) specify the arrangements for making such representations and the time at which, or the period within which, they may be made.

#### *Giving a penalty notice*

4 (1) The Commissioner may not give a penalty notice before a time, or before the end of a period, specified in the notice of intent for making oral or written representations.

(2) When deciding whether to give a penalty notice to a person and determining the amount of the penalty, the Commissioner must consider any oral or written representations made by the person in accordance with the notice of intent.

#### *Contents of penalty notice*

5 (1) A penalty notice must contain the following information—

- (a) the name and address of the person to whom it is addressed;
- (b) details of the notice of intent given to the person;
- (c) whether the Commissioner received oral or written representations in accordance with the notice of intent;
- (d) the reasons why the Commissioner proposes to impose the penalty (see sub-paragraph (2));
- (e) the reasons for the amount of the penalty, including any aggravating or mitigating factors that the Commissioner has taken into account;
- (f) details of how the penalty is to be paid;
- (g) details of the rights of appeal under section 162;
- (h) details of the Commissioner's enforcement powers under this Schedule.

(2) The information required under sub-paragraph (1)(d) includes—

- (a) a description of the circumstances of the failure, and
- (b) where the notice is given in respect of a failure described in section 149(2), the nature of the personal data involved in the failure.

#### *Period for payment of penalty*

6 (1) A penalty must be paid to the Commissioner within the period specified in the penalty notice.

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- (2) The period specified must be a period of not less than 28 days beginning when the penalty notice is given.

#### *Variation of penalty*

- 7 (1) The Commissioner may vary a penalty notice by giving written notice (a “penalty variation notice”) to the person to whom it was given.
- (2) A penalty variation notice must specify—
- (a) the penalty notice concerned, and
  - (b) how it is varied.
- (3) A penalty variation notice may not—
- (a) reduce the period for payment of the penalty;
  - (b) increase the amount of the penalty;
  - (c) otherwise vary the penalty notice to the detriment of the person to whom it was given.
- (4) If—
- (a) a penalty variation notice reduces the amount of the penalty, and
  - (b) when that notice is given, an amount has already been paid that exceeds the amount of the reduced penalty,
- the Commissioner must repay the excess.

#### *Cancellation of penalty*

- 8 (1) The Commissioner may cancel a penalty notice by giving written notice to the person to whom it was given.
- (2) If a penalty notice is cancelled, the Commissioner—
- (a) may not take any further action under section 155 or this Schedule in relation to the failure to which that notice relates, and
  - (b) must repay any amount that has been paid in accordance with that notice.

#### *Enforcement of payment*

- 9 (1) The Commissioner must not take action to recover a penalty unless—
- (a) the period specified in accordance with paragraph 6 has ended,
  - (b) any appeals against the penalty notice have been decided or otherwise ended,
  - (c) if the penalty notice has been varied, any appeals against the penalty variation notice have been decided or otherwise ended, and
  - (d) the period for the person to whom the penalty notice was given to appeal against the penalty, and any variation of it, has ended.
- (2) In England and Wales, a penalty is recoverable—
- (a) if the county court so orders, as if it were payable under an order of that court;
  - (b) if the High Court so orders, as if it were payable under an order of that court.

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- (3) In Scotland, a penalty may be enforced in the same manner as an extract registered decree arbitral bearing a warrant for execution issued by the sheriff court of any sheriffdom in Scotland.
- (4) In Northern Ireland, a penalty is recoverable—
  - (a) if a county court so orders, as if it were payable under an order of that court;
  - (b) if the High Court so orders, as if it were payable under an order of that court.

VALID FROM 23/07/2018

SCHEDULE 17 Section 178

REVIEW OF PROCESSING OF PERSONAL DATA FOR THE PURPOSES OF JOURNALISM

.....

Section 184

SCHEDULE 18

RELEVANT RECORDS

VALID FROM 25/05/2018

*Relevant records*

1 (1) In section 184, “relevant record” means—

- (a) a relevant health record (see paragraph 2),
- (b) a relevant record relating to a conviction or caution (see paragraph 3), or
- (c) a relevant record relating to statutory functions (see paragraph 4).

(2) A record is not a “relevant record” to the extent that it relates, or is to relate, only to personal data which falls within section 21(2) (manual unstructured personal data held by FOI public authorities).

VALID FROM 25/05/2018

*Relevant health records*

2 “Relevant health record” means a health record which has been or is to be obtained by a data subject in the exercise of a data subject access right.



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VALID FROM 25/05/2018

*Relevant records relating to a conviction or caution*

- 3 (1) “Relevant record relating to a conviction or caution” means a record which—
- (a) has been or is to be obtained by a data subject in the exercise of a data subject access right from a person listed in sub-paragraph (2), and
  - (b) contains information relating to a conviction or caution.
- (2) Those persons are—
- (a) the chief constable of a police force maintained under section 2 of the Police Act 1996;
  - (b) the Commissioner of Police of the Metropolis;
  - (c) the Commissioner of Police for the City of London;
  - (d) the Chief Constable of the Police Service of Northern Ireland;
  - (e) the chief constable of the Police Service of Scotland;
  - (f) the Director General of the National Crime Agency;
  - (g) the Secretary of State.
- (3) In this paragraph—
- “caution” means a caution given to a person in England and Wales or Northern Ireland in respect of an offence which, at the time when the caution is given, is admitted;
- “conviction” has the same meaning as in the Rehabilitation of Offenders Act 1974 or the Rehabilitation of Offenders (Northern Ireland) Order 1978 (S.I. 1978/1908 (N.I. 27)).

VALID FROM 25/05/2018

*Relevant records relating to statutory functions*

- 4 (1) “Relevant record relating to statutory functions” means a record which—
- (a) has been or is to be obtained by a data subject in the exercise of a data subject access right from a person listed in sub-paragraph (2), and
  - (b) contains information relating to a relevant function in relation to that person.
- (2) Those persons are—
- (a) the Secretary of State;
  - (b) the Department for Communities in Northern Ireland;
  - (c) the Department of Justice in Northern Ireland;
  - (d) the Scottish Ministers;
  - (e) the Disclosure and Barring Service.
- (3) In relation to the Secretary of State, the “relevant functions” are—
- (a) the Secretary of State's functions in relation to a person sentenced to detention under—

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- (i) section 92 of the Powers of Criminal Courts (Sentencing) Act 2000,
- (ii) section 205(2) or 208 of the Criminal Procedure (Scotland) Act 1995, or
- (iii) Article 45 of the Criminal Justice (Children) (Northern Ireland) Order 1998 (S.I. 1998/1504 (N.I. 9));
- (b) the Secretary of State's functions in relation to a person imprisoned or detained under—
  - (i) the Prison Act 1952,
  - (ii) the Prisons (Scotland) Act 1989, or
  - (iii) the Prison Act (Northern Ireland) 1953 (c. 18 (N.I.));
- (c) the Secretary of State's functions under—
  - (i) the Social Security Contributions and Benefits Act 1992,
  - (ii) the Social Security Administration Act 1992,
  - (iii) the Jobseekers Act 1995,
  - (iv) Part 5 of the Police Act 1997,
  - (v) Part 1 of the Welfare Reform Act 2007, or
  - (vi) Part 1 of the Welfare Reform Act 2012.
- (4) In relation to the Department for Communities in Northern Ireland, the “relevant functions” are its functions under—
  - (a) the Social Security Contributions and Benefits (Northern Ireland) Act 1992,
  - (b) the Social Security Administration (Northern Ireland) Act 1992,
  - (c) the Jobseekers (Northern Ireland) Order 1995 (S.I. 1995/2705 (N.I. 15)), or
  - (d) Part 1 of the Welfare Reform Act (Northern Ireland) 2007 (c. 2 (N.I.)).
- (5) In relation to the Department of Justice in Northern Ireland, the “relevant functions” are its functions under Part 5 of the Police Act 1997.
- (6) In relation to the Scottish Ministers, the “relevant functions” are their functions under
  - (a) Part 5 of the Police Act 1997, or
  - (b) Parts 1 and 2 of the Protection of Vulnerable Groups (Scotland) Act 2007 (asp 14).
- (7) In relation to the Disclosure and Barring Service, the “relevant functions” are its functions under—
  - (a) Part 5 of the Police Act 1997,
  - (b) the Safeguarding Vulnerable Groups Act 2006, or
  - (c) the Safeguarding Vulnerable Groups (Northern Ireland) Order 2007 (S.I. 2007/1351 (N.I. 11)).

VALID FROM 25/05/2018

*Data subject access right*

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- (a) Article 15 of the GDPR (right of access by the data subject);
- (b) Article 20 of the GDPR (right to data portability);
- (c) section 45 of this Act (law enforcement processing: right of access by the data subject);
- (d) section 94 of this Act (intelligence services processing: right of access by the data subject).

VALID FROM 25/05/2018

*Records stating that personal data is not processed*

- 6 For the purposes of this Schedule, a record which states that a controller is not processing personal data relating to a particular matter is to be taken to be a record containing information relating to that matter.

*Power to amend*

- 7 (1) The Secretary of State may by regulations amend this Schedule.  
(2) Regulations under this paragraph are subject to the affirmative resolution procedure.

**Commencement Information**

**I38** Sch. 18 para. 7 in force at Royal Assent for specified purposes, see s. 212(2)(f)

SCHEDULE 19

Section 211

MINOR AND CONSEQUENTIAL AMENDMENTS

**PART 1**

AMENDMENTS OF PRIMARY LEGISLATION

VALID FROM 25/05/2018

*Registration Service Act 1953 (c. 37)*

- 1 (1) Section 19AC of the Registration Service Act 1953 (codes of practice) is amended as follows.  
(2) In subsection (2), for “issued under section 52B (data-sharing code) of the Data Protection Act 1998” substitute “prepared under section 121 of the Data Protection Act 2018 (data-sharing code) and issued under section 125(4) of that Act”.

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(3) In subsection (11), for “section 51(3) of the Data Protection Act 1998” substitute “section 128 of the Data Protection Act 2018”.

VALID FROM 25/05/2018

*Veterinary Surgeons Act 1966 (c. 36)*

- 2 (1) Section 1A of the Veterinary Surgeons Act 1966 (functions of the Royal College of Veterinary Surgeons as competent authority) is amended as follows.
- (2) In subsection (8)—
- (a) omit “personal data protection legislation in the United Kingdom that implements”,
  - (b) for paragraph (a) substitute—  
“*(a)* the GDPR; and”, and
  - (c) in paragraph (b), at the beginning insert “legislation in the United Kingdom that implements”.
- (3) In subsection (9), after “section” insert “—  
“the GDPR” means [Regulation \(EU\) 2016/679](#) of the European Parliament and of the Council of 27 April 2016 on the protection of natural persons with regard to the processing of personal data and on the free movement of such data (General Data Protection Regulation), read with Chapter 2 of Part 2 of the Data Protection Act 2018;”.

VALID FROM 25/05/2018

*Parliamentary Commissioner Act 1967 (c. 13)*

- 3 In section 11AA(1) of the Parliamentary Commissioner Act 1967 (disclosure of information by Parliamentary Commissioner to Information Commissioner)—
- (a) in paragraph (a), for sub-paragraph (i) substitute—  
“*(i)* sections 142 to 154, 160 to 164 or 174 to 176 of, or Schedule 15 to, the Data Protection Act 2018 (certain provisions relating to enforcement),”,  
and
  - (b) for paragraph (b) substitute—  
“*(b)* the commission of an offence under—  
    - (i) a provision of the Data Protection Act 2018 other than paragraph 15 of Schedule 15 (obstruction of execution of warrant etc), or
    - (ii) section 77 of the Freedom of Information Act 2000 (offence of altering etc records with intent to prevent disclosure).”

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VALID FROM 25/05/2018

*Local Government Act 1974 (c. 7)*

- 4 The Local Government Act 1974 is amended as follows.
- 5 In section 33A(1) (disclosure of information by Local Commissioner to Information Commissioner)—
- (a) in paragraph (a), for sub-paragraph (i) substitute—
- “(i) sections 142 to 154, 160 to 164 or 174 to 176 of, or Schedule 15 to, the Data Protection Act 2018 (certain provisions relating to enforcement),”, and
- (b) for paragraph (b) substitute—
- “(b) the commission of an offence under—
- (i) a provision of the Data Protection Act 2018 other than paragraph 15 of Schedule 15 (obstruction of execution of warrant etc), or
- (ii) section 77 of the Freedom of Information Act 2000 (offence of altering etc records with intent to prevent disclosure).”
- 6 In section 34O(1) (disclosure of information by Local Commissioner to Information Commissioner)—
- (a) in paragraph (a), for sub-paragraph (i) substitute—
- “(i) sections 142 to 154, 160 to 164 or 174 to 176 of, or Schedule 15 to, the Data Protection Act 2018 (certain provisions relating to enforcement),”, and
- (b) for paragraph (b) substitute—
- “(b) the commission of an offence under—
- (i) a provision of the Data Protection Act 2018 other than paragraph 15 of Schedule 15 (obstruction of execution of warrant etc), or
- (ii) section 77 of the Freedom of Information Act 2000 (offence of altering etc records with intent to prevent disclosure).”

VALID FROM 25/05/2018

*Consumer Credit Act 1974 (c. 39)*

- 7 The Consumer Credit Act 1974 is amended as follows.
- 8 In section 157(2A) (duty to disclose name etc of agency)—
- (a) in paragraph (a), for “the Data Protection Act 1998” substitute “ the GDPR ”, and
- (b) in paragraph (b), after “any” insert “ other ”.

**Status:** Point in time view as at 23/05/2018. This version of this Act contains provisions that are not valid for this point in time.

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9	In section 159(1)(a) (correction of wrong information) for “section 7 of the Data Protection Act 1998” substitute “ Article 15(1) to (3) of the GDPR (confirmation of processing, access to data and safeguards for third country transfers) ”.
10	In section 189(1) (definitions), at the appropriate place insert—  ““the GDPR” has the same meaning as in Parts 5 to 7 of the Data Protection Act 2018 (see section 3(10), (11) and (14) of that Act);”.

VALID FROM 25/05/2018

*Pharmacy (Northern Ireland) Order 1976 (S.I. 1976/1213 (N.I. 22))*

11	The Pharmacy (Northern Ireland) Order 1976 is amended as follows.
12	In article 2(2) (interpretation), omit the definition of “Directive <a href="#">95/46/EC</a> ”.
13	In article 8D (European professional card), after paragraph (3) insert—  “(4) In Schedule 2C, “the GDPR” means <a href="#">Regulation (EU) 2016/679</a> of the European Parliament and of the Council of 27 April 2016 on the protection of natural persons with regard to the processing of personal data and on the free movement of such data (General Data Protection Regulation), read with Chapter 2 of Part 2 of the Data Protection Act 2018.”
14	In article 22A(6) (Directive <a href="#">2005/36/EC</a> : functions of competent authority etc.), before sub-paragraph (a) insert—  “(za) “the GDPR” means <a href="#">Regulation (EU) 2016/679</a> of the European Parliament and of the Council of 27 April 2016 on the protection of natural persons with regard to the processing of personal data and on the free movement of such data (General Data Protection Regulation), read with Chapter 2 of Part 2 of the Data Protection Act 2018;”.
15	(1) Schedule 2C (Directive <a href="#">2005/36/EC</a> : European professional card) is amended as follows.  (2) In paragraph 8(1) (access to data), for “Directive <a href="#">95/46/EC</a> ” substitute “ the GDPR ”.  (3) In paragraph 9 (processing data), omit sub-paragraph (2) (deeming the Society to be the controller for the purposes of Directive <a href="#">95/46/EC</a> ).
16	(1) The table in Schedule 2D (functions of the Society under Directive <a href="#">2005/36/EC</a> ) is amended as follows.  (2) In the entry for Article 56(2), in the second column, for “Directive <a href="#">95/46/EC</a> ” substitute “ the GDPR ”.  (3) In the entry for Article 56a(4), in the second column, for “Directive <a href="#">95/46/EC</a> ” substitute “ the GDPR ”.
17	(1) Paragraph 2 of Schedule 3 (fitness to practice: disclosure of information) is amended as follows.  (2) In sub-paragraph (2)(a), after “provision” insert “ or the GDPR ”.

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(3) For sub-paragraph (3) substitute—

“(3) In determining for the purposes of sub-paragraph (2)(a) whether a disclosure is prohibited, it is to be assumed for the purposes of paragraph 5(2) of Schedule 2 to the Data Protection Act 2018 and paragraph 3(2) of Schedule 11 to that Act (exemptions from certain provisions of the data protection legislation: disclosures required by law) that the disclosure is required by this paragraph.”

(4) After sub-paragraph (4) insert—

“(5) In this paragraph, “the GDPR” and references to Schedule 2 to the Data Protection Act 2018 have the same meaning as in Parts 5 to 7 of that Act (see section 3(10), (11) and (14) of that Act).”

VALID FROM 25/05/2018

*Representation of the People Act 1983 (c. 2)*

- 18 (1) Schedule 2 to the Representation of the People Act 1983 (provisions which may be contained in regulations as to registration etc) is amended as follows.
- (2) In paragraph 1A(5), for “the Data Protection Act 1998” substitute “ Parts 5 to 7 of the Data Protection Act 2018 (see section 3(4) and (14) of that Act) ”.
- (3) In paragraph 8C(2), for “the Data Protection Act 1998” substitute “ Parts 5 to 7 of the Data Protection Act 2018 (see section 3(4) and (14) of that Act) ”.
- (4) In paragraph 11A—
- (a) in sub-paragraph (1) for “who are data users to supply data, or documents containing information extracted from data and” substitute “ to supply information ”, and
- (b) omit sub-paragraph (2).

VALID FROM 25/05/2018

*Medical Act 1983 (c. 54)*

19 The Medical Act 1983 is amended as follows.

20 (1) Section 29E (evidence) is amended as follows.

(2) In subsection (5), after “enactment” insert “ or the GDPR ”.

(3) For subsection (7) substitute—

“(7) In determining for the purposes of subsection (5) whether a disclosure is prohibited, it is to be assumed for the purposes of paragraph 5(2) of Schedule 2 to the Data Protection Act 2018 and paragraph 3(2) of Schedule 11 to that Act (exemptions from certain provisions of the data protection legislation: disclosures required by law) that the disclosure is required by this section.”

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	(4) In subsection (9), at the end insert—  ““the GDPR” and references to Schedule 2 to the Data Protection Act 2018 have the same meaning as in Parts 5 to 7 of that Act (see section 3(10), (11) and (14) of that Act).”
21	(1) Section 35A (General Medical Council's power to require disclosure of information) is amended as follows.  (2) In subsection (4), after “enactment” insert “ or the GDPR ”.  (3) For subsection (5A) substitute—  “(5A) In determining for the purposes of subsection (4) whether a disclosure is prohibited, it is to be assumed for the purposes of paragraph 5(2) of Schedule 2 to the Data Protection Act 2018 and paragraph 3(2) of Schedule 11 to that Act (exemptions from certain provisions of the data protection legislation: disclosures required by law) that the disclosure is required by this section.”  (4) In subsection (7), at the end insert—  ““the GDPR” and references to Schedule 2 to the Data Protection Act 2018 have the same meaning as in Parts 5 to 7 of that Act (see section 3(10), (11) and (14) of that Act).”
22	In section 49B(7) ( <a href="#">Directive 2005/36</a> : designation of competent authority etc.), after “Schedule 4A” insert “—  “the GDPR” means <a href="#">Regulation (EU) 2016/679</a> of the European Parliament and of the Council of 27 April 2016 on the protection of natural persons with regard to the processing of personal data and on the free movement of such data (General Data Protection Regulation), read with Chapter 2 of Part 2 of the Data Protection Act 2018;”.
23	In section 55(1) (interpretation), omit the definition of “ <a href="#">Directive 95/46/EC</a> ”.
24	(1) Paragraph 9B of Schedule 1 (incidental powers of the General Medical Council) is amended as follows.  (2) In sub-paragraph (2)(a), after “enactment” insert “ or the GPDR ”.  (3) After sub-paragraph (3) insert—  “(4) In this paragraph, “the GDPR” has the same meaning as in Parts 5 to 7 of the Data Protection Act 2018 (see section 3(10), (11) and (14) of that Act).”
25	(1) Paragraph 5A of Schedule 4 (professional performance assessments and health assessments) is amended as follows.  (2) In sub-paragraph (8), after “enactment” insert “ or the GDPR ”.  (3) For sub-paragraph (8A) substitute—  “(8A) In determining for the purposes of sub-paragraph (8) whether a disclosure is prohibited, it is to be assumed for the purposes of paragraph 5(2) of Schedule 2 to the Data Protection Act 2018 and paragraph 3(2) of Schedule 11 to that Act (exemptions from certain provisions of the data



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protection legislation: disclosures required by law) that the disclosure is required by this paragraph.”

(4) After sub-paragraph (13) insert—

“(14) In this paragraph, “the GDPR” and references to Schedule 2 to the Data Protection Act 2018 have the same meaning as in Parts 5 to 7 of that Act (see section 3(10), (11) and (14) of that Act).”

26 (1) The table in Schedule 4A (functions of the General Medical Council as competent authority under [Directive 2005/36](#)) is amended as follows.

(2) In the entry for Article 56(2), in the second column, for “Directive [95/46/EC](#)” substitute “the GDPR”.

(3) In the entry for Article 56a(4), in the second column, for “Directive [95/46/EC](#)” substitute “the GDPR”.

VALID FROM 25/05/2018

*Dentists Act 1984 (c. 24)*

27 The Dentists Act 1984 is amended as follows.

28 (1) Section 33B (the General Dental Council's power to require disclosure of information: the dental profession) is amended as follows.

(2) In subsection (3), after “enactment” insert “or relevant provision of the GDPR”.

(3) For subsection (4) substitute—

“(4) For the purposes of subsection (3)—

“relevant enactment” means any enactment other than—

(a) this Act, or

(b) the listed provisions in paragraph 1 of Schedule 11 to the Data Protection Act 2018 (exemptions to Part 4 : disclosures required by law);

“relevant provision of the GDPR” means any provision of the GDPR apart from the listed GDPR provisions in paragraph 1 of Schedule 2 to the Data Protection Act 2018 (GDPR provisions to be adapted or restricted: disclosures required by law).”

(4) After subsection (10) insert—

“(11) In this section, “the GDPR” and references to Schedule 2 to the Data Protection Act 2018 have the same meaning as in Parts 5 to 7 of that Act (see section 3(10), (11) and (14) of that Act).”

29 In section 36ZA(6) ([Directive 2005/36](#): designation of competent authority etc), after “Schedule 4ZA—” insert—

““the GDPR” means [Regulation \(EU\) 2016/679](#) of the European Parliament and of the Council of 27 April 2016 on the protection of natural persons with regard to the processing of personal data and on the

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	free movement of such data (General Data Protection Regulation), read with Chapter 2 of Part 2 of the Data Protection Act 2018;”.
30	<p>(1) Section 36Y (the General Dental Council's power to require disclosure of information: professions complementary to dentistry) is amended as follows.</p> <p>(2) In subsection (3), after “enactment” insert “ or relevant provision of the GDPR ”.</p> <p>(3) For subsection (4) substitute—</p> <p style="padding-left: 40px;">“(4) For the purposes of subsection (3)—</p> <p style="padding-left: 80px;">“relevant enactment” means any enactment other than—</p> <p style="padding-left: 120px;">(a) this Act, or</p> <p style="padding-left: 120px;">(b) the listed provisions in paragraph 1 of Schedule 11 to the Data Protection Act 2018 (exemptions to Part 4 : disclosures required by law);</p> <p style="padding-left: 80px;">“relevant provision of the GDPR” means any provision of the GDPR apart from the listed GDPR provisions in paragraph 1 of Schedule 2 to the Data Protection Act 2018 (GDPR provisions to be adapted or restricted: disclosures required by law).”</p> <p>(4) After subsection (10) insert—</p> <p style="padding-left: 40px;">“(11) In this section, “the GDPR” and references to Schedule 2 to the Data Protection Act 2018 have the same meaning as in Parts 5 to 7 of that Act (see section 3(10), (11) and (14) of that Act).”</p>
31	In section 53(1) (interpretation), omit the definition of “Directive 95/46/EC”.
32	<p>(1) The table in Schedule 4ZA (<a href="#">Directive 2005/36</a>: functions of the General Dental Council under section 36ZA(3)) is amended as follows.</p> <p>(2) In the entry for Article 56(2), in the second column, for “Directive 95/46/EC” substitute “ the GDPR ”.</p> <p>(3) In the entry for Article 56a(4), in the second column, for “Directive 95/46/EC” substitute “ the GDPR ”.</p>

VALID FROM 25/05/2018

*Companies Act 1985 (c. 6)*

33	In section 449(11) of the Companies Act 1985 (provision for security of information obtained), for “the Data Protection Act 1998” substitute “ the data protection legislation ”.
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VALID FROM 25/05/2018

*Access to Medical Reports Act 1988 (c. 28)*

34	In section 2(1) of the Access to Medical Reports Act 1988 (interpretation), for the definition of “health professional” substitute—
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““health professional” has the same meaning as in the Data Protection Act 2018 (see section 204 of that Act);”.

VALID FROM 25/05/2018

*Opticians Act 1989 (c. 44)*

- 35 (1) Section 13B of the Opticians Act 1989 (the Council's power to require disclosure of information) is amended as follows.
- (2) In subsection (3), after “enactment” insert “ or the GDPR ”.
- (3) For subsection (4) substitute—
- “ (4) In determining for the purposes of subsection (3) whether a disclosure is prohibited, it is to be assumed for the purposes of paragraph 5(2) of Schedule 2 to the Data Protection Act 2018 and paragraph 3(2) of Schedule 11 to that Act (exemptions from certain provisions of the data protection legislation: disclosures required by law) that the disclosure is required by this section.”
- (4) After subsection (9) insert—
- “ (10) In this section, “the GDPR” and references to Schedule 2 to the Data Protection Act 2018 have the same meaning as in Parts 5 to 7 of that Act (see section 3(10), (11) and (14) of that Act).”

VALID FROM 25/05/2018

*Access to Health Records Act 1990 (c. 23)*

- 36 The Access to Health Records Act 1990 is amended as follows.
- 37 For section 2 substitute—
- “2 Health professionals**
- In this Act, “health professional” has the same meaning as in the Data Protection Act 2018 (see section 204 of that Act).”
- 38 (1) Section 3 (right of access to health records) is amended as follows.
- (2) In subsection (2), omit “Subject to subsection (4) below,”.
- (3) In subsection (4), omit from “other than the following” to the end.

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VALID FROM 25/05/2018

*Human Fertilisation and Embryology Act 1990 (c. 37)*

- 39 (1) Section 33D of the Human Fertilisation and Embryology Act 1990 (disclosure for the purposes of medical or other research) is amended as follows.
- (2) In subsection (6), for “the Data Protection Act 1998” substitute “ the data protection legislation ”.
- (3) In subsection (9), at the appropriate place insert—
- ““the data protection legislation” has the same meaning as in the Data Protection Act 2018 (see section 3 of that Act).”

VALID FROM 25/05/2018

*Trade Union and Labour Relations (Consolidation) Act 1992 (c. 52)*

- 40 (1) Section 251B of the Trade Union and Labour Relations (Consolidation) Act 1992 (prohibition on disclosure of information) is amended as follows.
- (2) In subsection (3), for “the Data Protection Act 1998” substitute “ the data protection legislation ”.
- (3) After subsection (6) insert—
- “(7) In this section, “the data protection legislation” has the same meaning as in the Data Protection Act 2018 (see section 3 of that Act).”

VALID FROM 25/05/2018

*Tribunals and Inquiries Act 1992 (c. 53)*

- 41 In the table in Part 1 of Schedule 1 to the Tribunals and Inquiries Act 1992 (tribunals to which the Act applies), in the second column, in paragraph 14(a), for “section 6 of the Data Protection Act 1998” substitute “ section 114 of the Data Protection Act 2018 ”.

VALID FROM 25/05/2018

*Industrial Relations (Northern Ireland) Order 1992 (S.I. 1992/807 (N.I. 5))*

- 42 (1) Article 90B of the Industrial Relations (Northern Ireland) Order 1992 (prohibition on disclosure of information held by the Labour Relations Agency) is amended as follows.
- (2) In paragraph (3), for “the Data Protection Act 1998” substitute “ the data protection legislation ”.

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(3) After paragraph (6) insert—

“(7) In this Article, “the data protection legislation” has the same meaning as in the Data Protection Act 2018 (see section 3 of that Act).”

VALID FROM 25/05/2018

*Health Service Commissioners Act 1993 (c. 46)*

43 In section 18A(1) of the Health Service Commissioners Act 1993 (power to disclose information)—

(a) in paragraph (a), for sub-paragraph (i) substitute—

“(i) sections 142 to 154, 160 to 164 or 174 to 176 of, or Schedule 15 to, the Data Protection Act 2018 (certain provisions relating to enforcement),”,  
and

(b) for paragraph (b) substitute—

“(b) the commission of an offence under—

(i) a provision of the Data Protection Act 2018 other than paragraph 15 of Schedule 15 (obstruction of execution of warrant etc), or

(ii) section 77 of the Freedom of Information Act 2000 (offence of altering etc records with intent to prevent disclosure).”

VALID FROM 25/05/2018

*Data Protection Act 1998 (c. 29)*

44 The Data Protection Act 1998 is repealed, with the exception of section 62 and paragraphs 13, 15, 16, 18 and 19 of Schedule 15 (which amend other enactments).

VALID FROM 25/05/2018

*Crime and Disorder Act 1998 (c. 37)*

45 In section 17A(4) of the Crime and Disorder Act 1998 (sharing of information), for “(within the meaning of the Data Protection Act 1998)” substitute “(within the meaning of Parts 5 to 7 of the Data Protection Act 2018 (see section 3(2) and (14) of that Act))”.

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VALID FROM 25/05/2018

*Food Standards Act 1999 (c. 28)*

- 46 (1) Section 19 of the Food Standards Act 1999 (publication etc by the Food Standards Agency of advice and information) is amended as follows.
- (2) In subsection (2), for “the Data Protection Act 1998” substitute “the data protection legislation”.
- (3) In subsection (8), after “section” insert “—  
 “the data protection legislation” has the same meaning as in the Data Protection Act 2018 (see section 3 of that Act);”.

VALID FROM 25/05/2018

*Immigration and Asylum Act 1999 (c. 33)*

- 47 (1) Section 13 of the Immigration and Asylum Act 1999 (proof of identity of persons to be removed or deported) is amended as follows.
- (2) For subsection (4) substitute—  
 “(4) For the purposes of Article 49(1)(d) of the GDPR, the provision under this section of identification data is a transfer of personal data which is necessary for important reasons of public interest.”
- (3) After subsection (4) insert—  
 “(4A) “The GDPR” has the same meaning as in Parts 5 to 7 of the Data Protection Act 2018 (see section 3(10), (11) and (14) of that Act).”

VALID FROM 25/05/2018

*Financial Services and Markets Act 2000 (c. 8)*

- 48 The Financial Services and Markets Act 2000 is amended as follows.
- 49 In section 86(9) (exempt offers to the public), for “the Data Protection Act 1998 or any directly applicable EU legislation relating to data protection” substitute “—  
 (a) the data protection legislation, or  
 (b) any directly applicable EU legislation which is not part of the data protection legislation but which relates to data protection”.
- 50 In section 391A(6)(b) (publication: special provisions relating to the capital requirements directive), for “the Data Protection Act 1998” substitute “the data protection legislation”.

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51	In section 391C(7)(a) (publication: special provisions relating to the UCITS directive), for “the Data Protection Act 1998” substitute “ the data protection legislation ”.
52	In section 391D(9)(a) (publication: special provisions relating to the markets in financial instruments directive), for “the Data Protection Act 1998” substitute “ the data protection legislation ”.
53	In section 417 (definitions), at the appropriate place insert— ““the data protection legislation” has the same meaning as in the Data Protection Act 2018 (see section 3 of that Act);”.

VALID FROM 25/05/2018

*Terrorism Act 2000 (c. 11)*

54	In section 21F(2)(d) of the Terrorism Act 2000 (other permitted disclosures between institutions etc) for “(within the meaning of section 1 of the Data Protection Act 1998)” substitute “ (within the meaning of Parts 5 to 7 of the Data Protection Act 2018 (see section 3(2) and (14) of that Act)) ”.
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*Freedom of Information Act 2000 (c. 36)*

VALID FROM 25/05/2018

55	The Freedom of Information Act 2000 is amended as follows.
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VALID FROM 25/05/2018

56	In section 2(3) (absolute exemptions), for paragraph (f) substitute— “(f) section 40(1), (fa) section 40(2) so far as relating to cases where the first condition referred to in that subsection is satisfied,”.
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VALID FROM 25/05/2018

57	In section 18 (the Information Commissioner), omit subsection (1).
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VALID FROM 25/05/2018

58	(1) Section 40 (personal information) is amended as follows. (2) In subsection (2)— (a) in paragraph (a), for “do” substitute “ does ”, and (b) in paragraph (b), for “either the first or the second” substitute “ the first, second or third ”.
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(3) For subsection (3) substitute—

“(3A) The first condition is that the disclosure of the information to a member of the public otherwise than under this Act—

- (a) would contravene any of the data protection principles, or
- (b) would do so if the exemptions in section 24(1) of the Data Protection Act 2018 (manual unstructured data held by public authorities) were disregarded.

(3B) The second condition is that the disclosure of the information to a member of the public otherwise than under this Act would contravene Article 21 of the GDPR (general processing: right to object to processing).”

(4) For subsection (4) substitute—

“(4A) The third condition is that—

- (a) on a request under Article 15(1) of the GDPR (general processing: right of access by the data subject) for access to personal data, the information would be withheld in reliance on provision made by or under section 15, 16 or 26 of, or Schedule 2, 3 or 4 to, the Data Protection Act 2018, or
- (b) on a request under section 45(1)(b) of that Act (law enforcement processing: right of access by the data subject), the information would be withheld in reliance on subsection (4) of that section.”

(5) For subsection (5) substitute—

“(5A) The duty to confirm or deny does not arise in relation to information which is (or if it were held by the public authority would be) exempt information by virtue of subsection (1).

(5B) The duty to confirm or deny does not arise in relation to other information if or to the extent that any of the following applies—

- (a) giving a member of the public the confirmation or denial that would have to be given to comply with section 1(1)(a)—
  - (i) would (apart from this Act) contravene any of the data protection principles, or
  - (ii) would do so if the exemptions in section 24(1) of the Data Protection Act 2018 (manual unstructured data held by public authorities) were disregarded;
- (b) giving a member of the public the confirmation or denial that would have to be given to comply with section 1(1)(a) would (apart from this Act) contravene Article 21 of the GDPR (general processing: right to object to processing);
- (c) on a request under Article 15(1) of the GDPR (general processing: right of access by the data subject) for confirmation of whether personal data is being processed, the information would be withheld in reliance on a provision listed in subsection (4A)(a);
- (d) on a request under section 45(1)(a) of the Data Protection Act 2018 (law enforcement processing: right of access by the data subject), the information would be withheld in reliance on subsection (4) of that section.”



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(6) Omit subsection (6).

(7) For subsection (7) substitute—

“(7) In this section—

“the data protection principles” means the principles set out in—

- (a) Article 5(1) of the GDPR, and
- (b) section 34(1) of the Data Protection Act 2018;

“data subject” has the same meaning as in the Data Protection Act 2018 (see section 3 of that Act);

“the GDPR”, “personal data”, “processing” and references to a provision of Chapter 2 of Part 2 of the Data Protection Act 2018 have the same meaning as in Parts 5 to 7 of that Act (see section 3(2), (4), (10), (11) and (14) of that Act).

(8) In determining for the purposes of this section whether the lawfulness principle in Article 5(1)(a) of the GDPR would be contravened by the disclosure of information, Article 6(1) of the GDPR (lawfulness) is to be read as if the second sub-paragraph (disapplying the legitimate interests gateway in relation to public authorities) were omitted.”

VALID FROM 25/05/2018

59 Omit section 49 (reports to be laid before Parliament).

60 For section 61 (appeal proceedings) substitute—

**“61 Appeal proceedings**

- (1) Tribunal Procedure Rules may make provision for regulating the exercise of rights of appeal conferred by sections 57(1) and (2) and 60(1) and (4).
- (2) In relation to appeals under those provisions, Tribunal Procedure Rules may make provision about—
  - (a) securing the production of material used for the processing of personal data, and
  - (b) the inspection, examination, operation and testing of equipment or material used in connection with the processing of personal data.
- (3) Subsection (4) applies where—
  - (a) a person does something, or fails to do something, in relation to proceedings before the First-tier Tribunal on an appeal under those provisions, and
  - (b) if those proceedings were proceedings before a court having power to commit for contempt, the act or omission would constitute contempt of court.
- (4) The First-tier Tribunal may certify the offence to the Upper Tribunal.
- (5) Where an offence is certified under subsection (4), the Upper Tribunal may—
  - (a) inquire into the matter, and

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- (b) deal with the person charged with the offence in any manner in which it could deal with the person if the offence had been committed in relation to the Upper Tribunal.
- (6) Before exercising the power under subsection (5)(b), the Upper Tribunal must—
  - (a) hear any witness who may be produced against or on behalf of the person charged with the offence, and
  - (b) hear any statement that may be offered in defence.
- (7) In this section, “personal data” and “processing” have the same meaning as in Parts 5 to 7 of the Data Protection Act 2018 (see section 3(2), (4) and (14) of that Act).”

#### Commencement Information

**I39** Sch. 19 para. 60 in force at Royal Assent for specified purposes, see s. 212(2)(f)

VALID FROM 25/05/2018

- 61 In section 76(1) (disclosure of information between Commissioner and ombudsmen), for “the Data Protection Act 1998” substitute “the data protection legislation”.

VALID FROM 25/05/2018

- 62 After section 76A insert—
- “76B Disclosure of information to Tribunal**
- (1) No enactment or rule of law prohibiting or restricting the disclosure of information precludes a person from providing the First-tier Tribunal or the Upper Tribunal with information necessary for the discharge of their functions in connection with appeals under section 60 of this Act.
  - (2) But this section does not authorise the making of a disclosure which is prohibited by any of Parts 1 to 7 or Chapter 1 of Part 9 of the Investigatory Powers Act 2016.
  - (3) Until the repeal of Part 1 of the Regulation of Investigatory Powers Act 2000 by paragraphs 45 and 54 of Schedule 10 to the Investigatory Powers Act 2016 is fully in force, subsection (2) has effect as if it included a reference to that Part.”

VALID FROM 25/05/2018

- 63 In section 77(1)(b) (offence of altering etc records with intent to prevent disclosure), omit “or section 7 of the Data Protection Act 1998.”.

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VALID FROM 25/05/2018

- 64 In section 84 (interpretation), at the appropriate place insert—
- ““the data protection legislation” has the same meaning as in the Data Protection Act 2018 (see section 3 of that Act);”.

VALID FROM 25/05/2018

*Political Parties, Elections and Referendums Act 2000 (c. 41)*

- 65 (1) Paragraph 28 of Schedule 19C to the Political Parties, Elections and Referendums Act 2000 (civil sanctions: disclosure of information) is amended as follows.
- (2) In sub-paragraph (4)(a), for “the Data Protection Act 1998” substitute “ the data protection legislation ”.
- (3) After sub-paragraph (5) insert—
- “(6) In this paragraph, “the data protection legislation” has the same meaning as in the Data Protection Act 2018 (see section 3 of that Act).”

VALID FROM 25/05/2018

*Public Finance and Accountability (Scotland) Act 2000 (asp 1)*

- 66 The Public Finance and Accountability (Scotland) Act 2000 is amended as follows.
- 67 In section 26B(3)(a) (voluntary disclosure of data to Audit Scotland), for “the Data Protection Act 1998 (c. 29)” substitute “ the data protection legislation ”.
- 68 In section 26C(3)(a) (power to require disclosure of data), for “the Data Protection Act 1998 (c. 29)” substitute “ the data protection legislation ”.
- 69 In section 29(1) (interpretation), at the appropriate place insert—
- ““the data protection legislation” has the same meaning as in the Data Protection Act 2018 (see section 3 of that Act);”.

VALID FROM 25/05/2018

*Criminal Justice and Police Act 2001 (c. 16)*

- 70 The Criminal Justice and Police Act 2001 is amended as follows.
- 71 In section 57(1) (retention of seized items)—
- (a) omit paragraph (m), and
- (b) after paragraph (s) insert—

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	“(t) paragraph 10 of Schedule 15 to the Data Protection Act 2018;”.
72	In section 65(7) (meaning of “legal privilege”)— (a) for “paragraph 1 of Schedule 9 to the Data Protection Act 1998 (c. 29)” substitute “ paragraphs 1 and 2 of Schedule 15 to the Data Protection Act 2018 ”, and (b) for “paragraph 9” substitute “ paragraph 11 (matters exempt from inspection and seizure: privileged communications) ”.
73	In Schedule 1 (powers of seizure)— (a) omit paragraph 65, and (b) after paragraph 73R insert—
	<i>“Data Protection Act 2018</i>
	73S The power of seizure conferred by paragraphs 1 and 2 of Schedule 15 to the Data Protection Act 2018 (powers of entry and inspection).”

VALID FROM 25/05/2018

*Anti-terrorism, Crime and Security Act 2001 (c.24)*

- 74 The Anti-terrorism, Crime and Security Act 2001 is amended as follows.
- 75 (1) Section 19 (disclosure of information held by revenue departments) is amended as follows.
- (2) In subsection (7), for “the Data Protection Act 1998 (c. 29)” substitute “ the data protection legislation ”.
- (3) In subsection (9), after “section” insert “—  
 “the data protection legislation” has the same meaning as in the Data Protection Act 2018 (see section 3 of that Act);”.

PROSPECTIVE

<sup>F2</sup>76 .....

**Textual Amendments**

- F2** Sch. 19 para. 76 omitted (29.3.2019) by virtue of [The Data Protection, Privacy and Electronic Communications \(Amendments etc\) \(EU Exit\) Regulations 2019 \(S.I. 2019/419\)](#), reg. 1(3), [Sch. 4 para. 3](#)

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VALID FROM 25/05/2018

*Health and Personal Social Services Act (Northern Ireland) 2001 (c. 3 (N.I.))*

- 77 (1) Section 7A of the Health and Personal Social Services Act (Northern Ireland) 2001 (power to obtain information etc) is amended as follows.
- (2) In subsection (3), after “provision” insert “ or the GDPR ”.
- (3) For subsection (5) substitute—
- “(5) In determining for the purposes of subsection (3) whether a disclosure is prohibited, it is to be assumed for the purposes of paragraph 5(2) of Schedule 2 to the Data Protection Act 2018 and paragraph 3(2) of Schedule 11 to that Act (exemptions from certain provisions of the data protection legislation: disclosures required by law) that the disclosure is required by this section.”
- (4) After subsection (7) insert—
- “(8) In this section, “the GDPR” and references to Schedule 2 to the Data Protection Act 2018 have the same meaning as in Parts 5 to 7 of that Act (see section 3(10), (11) and (14) of that Act).”

VALID FROM 25/05/2018

*Justice (Northern Ireland) Act 2002 (c. 26)*

- 78 (1) Section 5A of the Justice (Northern Ireland) Act 2002 (disclosure of information to the Commission) is amended as follows.
- (2) In subsection (3)(a), for “the Data Protection Act 1998” substitute “ the data protection legislation ”.
- (3) After subsection (9) insert—
- “(10) In this section, “the data protection legislation” has the same meaning as in the Data Protection Act 2018 (see section 3 of that Act).”

VALID FROM 25/05/2018

*Proceeds of Crime Act 2002 (c. 29)*

- 79 The Proceeds of Crime Act 2002 is amended as follows.
- 80 In section 333C(2)(d) (other permitted disclosures between institutions etc), for “(within the meaning of section 1 of the Data Protection Act 1998)” substitute “ (within the meaning of Parts 5 to 7 of the Data Protection Act 2018 (see section 3(2) and (14) of that Act) ”.
- 81 In section 436(3)(a) (disclosure of information to certain Directors), for “the Data Protection Act 1998 (c. 29)” substitute “ the data protection legislation ”.

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82	In section 438(8)(a) (disclosure of information by certain Directors), for “the Data Protection Act 1998 (c. 29)” substitute “ the data protection legislation ”.
83	In section 439(3)(a) (disclosure of information to Lord Advocate and to Scottish Ministers), for “the Data Protection Act 1998 (c. 29)” substitute “ the data protection legislation ”.
84	In section 441(7)(a) (disclosure of information by Lord Advocate and Scottish Ministers), for “the Data Protection Act 1998 (c. 29)” substitute “ the data protection legislation ”.
85	After section 442 insert—
	<b>“442A Data protection legislation</b>
	In this Part, “the data protection legislation” has the same meaning as in the Data Protection Act 2018 (see section 3 of that Act).”

VALID FROM 25/05/2018

*Enterprise Act 2002 (c. 40)*

86	(1) Section 237 of the Enterprise Act 2002 (general restriction on disclosure) is amended as follows.
	(2) In subsection (4), for “the Data Protection Act 1998 (c. 29)” substitute “ the data protection legislation ”.
	(3) After subsection (6) insert—
	“(7) In this section, “the data protection legislation” has the same meaning as in the Data Protection Act 2018 (see section 3 of that Act).”

VALID FROM 25/05/2018

*Scottish Public Services Ombudsman Act 2002 (asp 11)*

87	(1) In Schedule 5 to the Scottish Public Services Ombudsman Act 2002 (disclosure of information by the Ombudsman), the entry for the Information Commissioner is amended as follows.
	(2) In paragraph 1, for sub-paragraph (a) substitute—
	“(a) sections 142 to 154, 160 to 164 or 174 to 176 of, or Schedule 15 to, the Data Protection Act 2018 (certain provisions relating to enforcement),”.
	(3) For paragraph 2 substitute—
	“2 The commission of an offence under—
	(a) a provision of the Data Protection Act 2018 other than paragraph 15 of Schedule 15 (obstruction of execution of warrant etc), or

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(b) section 77 of the Freedom of Information Act 2000 (offence of altering etc records with intent to prevent disclosure).”

VALID FROM 25/05/2018

*Freedom of Information (Scotland) Act 2002 (asp 13)*

- 88 The Freedom of Information (Scotland) Act 2002 is amended as follows.
- 89 In section 2(2)(e)(ii) (absolute exemptions), omit “by virtue of subsection (2)(a) (i) or (b) of that section”.
- 90 (1) Section 38 (personal information) is amended as follows.
- (2) In subsection (1), for paragraph (b) substitute—
- “(b) personal data and the first, second or third condition is satisfied (see subsections (2A) to (3A));”.
- (3) For subsection (2) substitute—
- “(2A) The first condition is that the disclosure of the information to a member of the public otherwise than under this Act—
- (a) would contravene any of the data protection principles, or
- (b) would do so if the exemptions in section 24(1) of the Data Protection Act 2018 (manual unstructured data held by public authorities) were disregarded.
- (2B) The second condition is that the disclosure of the information to a member of the public otherwise than under this Act would contravene Article 21 of the GDPR (general processing: right to object to processing).”
- (4) For subsection (3) substitute—
- “(3A) The third condition is that—
- (a) on a request under Article 15(1) of the GDPR (general processing: right of access by the data subject) for access to personal data, the information would be withheld in reliance on provision made by or under section 15, 16 or 26 of, or Schedule 2, 3 or 4 to, the Data Protection Act 2018, or
- (b) on a request under section 45(1)(b) of that Act (law enforcement processing: right of access by the data subject), the information would be withheld in reliance on subsection (4) of that section.”
- (5) Omit subsection (4).
- (6) In subsection (5), for the definitions of “the data protection principles” and of “data subject” and “personal data” substitute—
- ““the data protection principles” means the principles set out in—
- (a) Article 5(1) of the GDPR, and
- (b) section 34(1) of the Data Protection Act 2018;
- “data subject” has the same meaning as in the Data Protection Act 2018 (see section 3 of that Act);

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“the GDPR”, “personal data”, “processing” and references to a provision of Chapter 2 of Part 2 of the Data Protection Act 2018 have the same meaning as in Parts 5 to 7 of that Act (see section 3(2), (4), (10), (11) and (14) of that Act);”.

(7) After that subsection insert—

“(5A) In determining for the purposes of this section whether the lawfulness principle in Article 5(1)(a) of the GDPR would be contravened by the disclosure of information, Article 6(1) of the GDPR (lawfulness) is to be read as if the second sub-paragraph (disapplying the legitimate interests gateway in relation to public authorities) were omitted.”

VALID FROM 25/05/2018

*Courts Act 2003 (c. 39)*

91 Schedule 5 to the Courts Act 2003 (collection of fines) is amended as follows.

92 (1) Paragraph 9C (disclosure of information in connection with making of attachment of earnings orders or applications for benefit deductions: supplementary) is amended as follows.

(2) In sub-paragraph (5), for “the Data Protection Act 1998” substitute “ the data protection legislation ”.

(3) After sub-paragraph (5) insert—

“(6) In this paragraph, “the data protection legislation” has the same meaning as in the Data Protection Act 2018 (see section 3 of that Act).”

93 (1) Paragraph 10A (attachment of earnings orders (Justice Act (Northern Ireland) 2016): disclosure of information) is amended as follows.

(2) In sub-paragraph (7), for “the Data Protection Act 1998” substitute “ the data protection legislation ”.

(3) In sub-paragraph (8), at the appropriate place insert—

““the data protection legislation” has the same meaning as in the Data Protection Act 2018 (see section 3 of that Act);”.

VALID FROM 25/05/2018

*Sexual Offences Act 2003 (c. 42)*

94 (1) Section 94 of the Sexual Offences Act 2003 (Part 2: supply of information to the Secretary of State etc for verification) is amended as follows.

(2) In subsection (6), for “the Data Protection Act 1998 (c. 29)” substitute “ the data protection legislation ”.

(3) In subsection (8), at the appropriate place insert—



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““the data protection legislation” has the same meaning as in the Data Protection Act 2018 (see section 3 of that Act);”.

VALID FROM 25/05/2018

*Criminal Justice Act 2003 (c. 44)*

- 95 The Criminal Justice Act 2003 is amended as follows.
- 96 In section 327A(9) (disclosure of information about convictions etc of child sex offenders to members of the public), for “the Data Protection Act 1998” substitute “ the data protection legislation ”.
- 97 In section 327B (disclosure of information about convictions etc of child sex offenders to members of the public: interpretation), after subsection (4) insert—
- “(4A) “The data protection legislation” has the same meaning as in the Data Protection Act 2018 (see section 3 of that Act).”

VALID FROM 25/05/2018

*Mental Health (Care and Treatment) (Scotland) Act 2003 (asp 13)*

- 98 (1) Section 279 of the Mental Health (Care and Treatment) (Scotland) Act 2003 (information for research) is amended as follows.
- (2) In subsection (2), for “research purposes within the meaning given by section 33 of the Data Protection Act 1998 (c. 29) (research, history and statistics)” substitute “ purposes mentioned in Article 89(1) of the GDPR (archiving in the public interest, scientific or historical research and statistics) ”.
- (3) After subsection (9) insert—
- “(10) In this section, “the GDPR” means [Regulation \(EU\) 2016/679](#) of the European Parliament and of the Council of 27 April 2016 on the protection of natural persons with regard to the processing of personal data and on the free movement of such data (General Data Protection Regulation).”

VALID FROM 25/05/2018

*Public Audit (Wales) Act 2004 (c. 23)*

- 99 (1) Section 64C of the Public Audit (Wales) Act 2004 (voluntary provision of data) is amended as follows.
- (2) In subsection (3)(a), for “the Data Protection Act 1998 (c. 29)” substitute “ the data protection legislation ”.
- (3) In subsection (5), at the beginning insert “In this section—

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“the data protection legislation” has the same meaning as in the Data Protection Act 2018 (see section 3 of that Act);”.

VALID FROM 25/05/2018

*Companies (Audit, Investigations and Community Enterprise) Act 2004 (c. 27)*

100 The Companies (Audit, Investigations and Community Enterprise) Act 2004 is amended as follows.

101 (1) Section 15A (disclosure of information by tax authorities) is amended as follows.

(2) In subsection (2)—

- (a) omit “within the meaning of the Data Protection Act 1998”, and
- (b) for “that Act” substitute “ the data protection legislation ”.

(3) After subsection (7) insert—

“(8) In this section—

“the data protection legislation” has the same meaning as in the Data Protection Act 2018 (see section 3 of that Act);

“personal data” has the same meaning as in Parts 5 to 7 of that Act (see section 3(2) and (14) of that Act).”

102 (1) Section 15D (permitted disclosure of information obtained under compulsory powers) is amended as follows.

(2) In subsection (7), for “the Data Protection Act 1998” substitute “ the data protection legislation ”.

(3) After subsection (7) insert—

“(8) In this section, “the data protection legislation” has the same meaning as in the Data Protection Act 2018 (see section 3 of that Act).”

VALID FROM 25/05/2018

*Domestic Violence, Crime and Victims Act 2004 (c. 28)*

103 (1) Section 54 of the Domestic Violence, Crime and Victims Act 2004 (disclosure of information) is amended as follows.

(2) In subsection (7), for “the Data Protection Act 1998 (c. 29)” substitute “ the data protection legislation ”.

(3) After subsection (8) insert—

“(9) In this section, “the data protection legislation” has the same meaning as in the Data Protection Act 2018 (see section 3 of that Act).”

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VALID FROM 25/05/2018

*Children Act 2004 (c. 31)*

- 104 The Children Act 2004 is amended as follows.
- 105 (1) Section 12 (information databases) is amended as follows.
- (2) In subsection (13)(e) for “the Data Protection Act 1998 (c. 29)” substitute “ the data protection legislation ”.
- (3) After subsection (13) insert—
- “(14) In this section, “the data protection legislation” has the same meaning as in the Data Protection Act 2018 (see section 3 of that Act).”
- 106 (1) Section 29 (information databases: Wales) is amended as follows.
- (2) In subsection (14)(e) for “the Data Protection Act 1998 (c. 29)” substitute “ the data protection legislation ”.
- (3) After subsection (14) insert—
- “(15) In this section, “the data protection legislation” has the same meaning as in the Data Protection Act 2018 (see section 3 of that Act).”

VALID FROM 25/05/2018

*Constitutional Reform Act 2005 (c. 4)*

- 107 (1) Section 107 of the Constitutional Reform Act 2005 (disclosure of information to the Commission) is amended as follows.
- (2) In subsection (3)(a), for “the Data Protection Act 1998 (c. 29)” substitute “ the data protection legislation ”.
- (3) After subsection (9) insert—
- “(10) In this section, “the data protection legislation” has the same meaning as in the Data Protection Act 2018 (see section 3 of that Act).”

VALID FROM 25/05/2018

*Mental Capacity Act 2005 (c. 9)*

- 108 In section 64 of the Mental Capacity Act 2005 (interpretation), for the definition of “health record” substitute—
- ““health record” has the same meaning as in the Data Protection Act 2018 (see section 205 of that Act);”.

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VALID FROM 25/05/2018

*Public Services Ombudsman (Wales) Act 2005 (c. 10)*

- 109 (1) Section 34X of the Public Services Ombudsman (Wales) Act 2005 (disclosure of information) is amended as follows.
- (2) In subsection (4), for paragraph (a) substitute—
- “(a) sections 142 to 154, 160 to 164 or 174 to 176 of, or Schedule 15 to, the Data Protection Act 2018 (certain provisions relating to enforcement);”.
- (3) For subsection (5) substitute—
- “(5) The offences are those under—
- (a) a provision of the Data Protection Act 2018 other than paragraph 15 of Schedule 15 (obstruction of execution of warrant etc);
- (b) section 77 of the Freedom of Information Act 2000 (offence of altering etc records with intent to prevent disclosure).”

VALID FROM 25/05/2018

*Commissioners for Revenue and Customs Act 2005 (c. 11)*

- 110 (1) Section 22 of the Commissioners for Revenue and Customs Act 2005 (data protection, etc) is amended as follows.
- (2) The existing text becomes subsection (1).
- (3) In that subsection, in paragraph (a), for “the Data Protection Act 1998 (c. 29)” substitute “the data protection legislation”.
- (4) After that subsection insert—
- “(2) In this section, “the data protection legislation” has the same meaning as in the Data Protection Act 2018 (see section 3 of that Act).”

VALID FROM 25/05/2018

*Gambling Act 2005 (c. 19)*

- 111 (1) Section 352 of the Gambling Act 2005 (data protection) is amended as follows.
- (2) The existing text becomes subsection (1).
- (3) In that subsection, for “the Data Protection Act 1998 (c. 29)” substitute “the data protection legislation”.
- (4) After that subsection insert—

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“(2) In this section, “the data protection legislation” has the same meaning as in the Data Protection Act 2018 (see section 3 of that Act).”

VALID FROM 25/05/2018

*Commissioner for Older People (Wales) Act 2006 (c. 30)*

112 (1) Section 18 of the Commissioner for Older People (Wales) Act 2006 (power to disclose information) is amended as follows.

(2) In subsection (7), for paragraph (a) substitute—

“(a) sections 142 to 154, 160 to 164 or 174 to 176 of, or Schedule 15 to, the Data Protection Act 2018 (certain provisions relating to enforcement);”.

(3) For subsection (8) substitute—

“(8) The offences are those under—

- (a) a provision of the Data Protection Act 2018 other than paragraph 15 of Schedule 15 (obstruction of execution of warrant etc); or
- (b) section 77 of the Freedom of Information Act 2000 (offence of altering etc records with intent to prevent disclosure).”

VALID FROM 25/05/2018

*National Health Service Act 2006 (c. 41)*

113 The National Health Service Act 2006 is amended as follows.

114 (1) Section 251 (control of patient information) is amended as follows.

(2) In subsection (7), for “made by or under the Data Protection Act 1998 (c 29)” substitute “ of the data protection legislation ”.

(3) In subsection (13), at the appropriate place insert—

““the data protection legislation” has the same meaning as in the Data Protection Act 2018 (see section 3 of that Act);”.

115 (1) Section 264C (provision and disclosure of information about health service products: supplementary) is amended as follows.

(2) In subsection (2), for “the Data Protection Act 1998” substitute “ the data protection legislation ”.

(3) After subsection (3) insert—

“(4) In this section, “the data protection legislation” has the same meaning as in the Data Protection Act 2018 (see section 3 of that Act).”

116 In paragraph 7B(3) of Schedule 1 (further provision about the Secretary of State and services under the Act), for “has the same meaning as in the Data Protection

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Act 1998” substitute “ has the same meaning as in Parts 5 to 7 of the Data Protection Act 2018 (see section 3(4) and (14) of that Act) ”.

VALID FROM 25/05/2018

*National Health Service (Wales) Act 2006 (c. 42)*

- 117 The National Health Service (Wales) Act 2006 is amended as follows.
- 118 (1) Section 201C (provision of information about medical supplies: supplementary) is amended as follows.
- (2) In subsection (2), for “the Data Protection Act 1998” substitute “ the data protection legislation ”.
- (3) After subsection (3) insert—
- “(4) In this section, “the data protection legislation” has the same meaning as in the Data Protection Act 2018 (see section 3 of that Act).”
- 119 In paragraph 7B(3) of Schedule 1 (further provision about the Welsh Ministers and services under the Act), for “has the same meaning as in the Data Protection Act 1998” substitute “ has the same meaning as in Parts 5 to 7 of the Data Protection Act 2018 (see section 3(4) and (14) of that Act) ”.

VALID FROM 25/05/2018

*Companies Act 2006 (c. 46)*

- 120 The Companies Act 2006 is amended as follows.
- 121 In section 458(2) (disclosure of information by tax authorities)—
- (a) for “within the meaning of the Data Protection Act 1998 (c. 29)” substitute “ within the meaning of Parts 5 to 7 of the Data Protection Act 2018 (see section 3(2) and (14) of that Act) ”, and
- (b) for “that Act” substitute “ the data protection legislation ”.
- 122 In section 461(7) (permitted disclosure of information obtained under compulsory powers), for “the Data Protection Act 1998 (c. 29)” substitute “ the data protection legislation ”.
- 123 In section 948(9) (restrictions on disclosure) for “the Data Protection Act 1998 (c. 29)” substitute “ the data protection legislation ”.
- 124 In section 1173(1) (minor definitions: general), at the appropriate place insert—
- ““the data protection legislation” has the same meaning as in the Data Protection Act 2018 (see section 3 of that Act);”.
- 125 In section 1224A(7) (restrictions on disclosure), for “the Data Protection Act 1998” substitute “ the data protection legislation ”.

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126	In section 1253D(3) (restriction on transfer of audit working papers to third countries), for “the Data Protection Act 1998” substitute “ the data protection legislation ”.
127	In section 1261(1) (minor definitions: Part 42), at the appropriate place insert— ““the data protection legislation” has the same meaning as in the Data Protection Act 2018 (see section 3 of that Act);”.
128	In section 1262 (index of defined expressions: Part 42), at the appropriate place insert— “the data protection legislation                      section 1261(1)”.
129	In Schedule 8 (index of defined expressions: general), at the appropriate place insert— “the data protection legislation                      section 1173(1)”.

VALID FROM 25/05/2018

*Tribunals, Courts and Enforcement Act 2007 (c. 15)*

- 130 The Tribunals, Courts and Enforcement Act 2007 is amended as follows.
- 131 In section 11(5)(b) (right to appeal to Upper Tribunal), for “section 28(4) or (6) of the Data Protection Act 1998 (c. 29)” substitute “ section 27(3) or (5), 79(5) or (7) or 111(3) or (5) of the Data Protection Act 2018 ”.
- 132 In section 13(8)(a) (right to appeal to the Court of Appeal), for “section 28(4) or (6) of the Data Protection Act 1998 (c. 29)” substitute “ section 27(3) or (5), 79(5) or (7) or 111(3) or (5) of the Data Protection Act 2018 ”.

VALID FROM 25/05/2018

*Statistics and Registration Service Act 2007 (c. 18)*

- 133 The Statistics and Registration Service Act 2007 is amended as follows.
- 134 (1) Section 45 (information held by HMRC) is amended as follows.
- (2) In subsection (4A), for “section 51(3) of the Data Protection Act 1998” substitute “ section 128 of the Data Protection Act 2018 ”.
- (3) In subsection (4B), for “the Data Protection Act 1998” substitute “ the Data Protection Act 2018 ”.
- 135 (1) Section 45A (information held by other public authorities) is amended as follows.
- (2) In subsection (8), for “section 51(3) of the Data Protection Act 1998” substitute “ section 128 of the Data Protection Act 2018 ”.
- (3) In subsection (9), for “the Data Protection Act 1998” substitute “ the data protection legislation ”.

*Status:* Point in time view as at 23/05/2018. This version of this Act contains provisions that are not valid for this point in time.

*Changes to legislation:* Data Protection Act 2018 is up to date with all changes known to be in force on or before 17 December 2024. There are changes that may be brought into force at a future date. Changes that have been made appear in the content and are referenced with annotations. (See end of Document for details)

- (4) In subsection (12)(a), for “the Data Protection Act 1998” substitute “ the data protection legislation ”.
- (5) In subsection 12(c), after the first “legislation” insert “ (which is not part of the data protection legislation) ”.
- 136 (1) Section 45B(3) (access to information held by Crown bodies etc) is amended as follows.
- (2) In paragraph (a), for “the Data Protection Act 1998” substitute “ the data protection legislation ”.
- (3) In paragraph (c), after the first “legislation” insert “ (which is not part of the data protection legislation) ”.
- 137 (1) Section 45C(13) (power to require disclosures by other public authorities) is amended as follows.
- (2) In paragraph (b), for “the Data Protection Act 1998” substitute “ the data protection legislation ”.
- (3) In paragraph (d), after the first “legislation” insert “ (which is not part of the data protection legislation) ”.
- 138 In section 45D(9)(b) (power to require disclosure by undertakings), for “the Data Protection Act 1998” substitute “ the data protection legislation ”.
- 139 (1) Section 45E (further provision about powers in sections 45B, 45C and 45D) is amended as follows.
- (2) In subsection (6), for “issued under section 52B (data-sharing code) of the Data Protection Act 1998” substitute “ prepared under section 121 of the Data Protection Act 2018 (data-sharing code) and issued under section 125(4) of that Act ”.
- (3) In subsection (16), for “section 51(3) of the Data Protection Act 1998” substitute “ section 128 of the Data Protection Act 2018 ”.
- (4) In subsection (17), for “the Data Protection Act 1998” substitute “ the data protection legislation ”.
- 140 (1) Section 53A (disclosure by the Statistics Board to devolved administrations) is amended as follows.
- (2) In subsection (9), for “section 51(3) of the Data Protection Act 1998” substitute “ section 128 of the Data Protection Act 2018 ”.
- (3) In subsection (10), for “the Data Protection Act 1998” substitute “ the data protection legislation ”.
- (4) In subsection (12)(b), for “the Data Protection Act 1998” substitute “ the data protection legislation ”.
- 141 (1) Section 54 (Data Protection Act 1998 and Human Rights Act 1998) is amended as follows.
- (2) In the heading, omit “Data Protection Act 1998 and”.
- (3) Omit paragraph (a) (together with the final “or”).
- 142 In section 67 (general interpretation: Part 1), at the appropriate place insert—



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““the data protection legislation” has the same meaning as in the Data Protection Act 2018 (see section 3 of that Act).”.

VALID FROM 25/05/2018

*Serious Crime Act 2007 (c. 27)*

- 143 The Serious Crime Act 2007 is amended as follows.
- 144 (1) Section 5A (verification and disclosure of information) is amended as follows.
- (2) In subsection (6)—
- (a) for “the Data Protection Act 1998” substitute “ the data protection legislation ”, and
- (b) for “are” substitute “ is ”.
- (3) After subsection (6) insert—
- “(7) In this section, “the data protection legislation” has the same meaning as in the Data Protection Act 2018 (see section 3 of that Act).”
- 145 (1) Section 68 (disclosure of information to prevent fraud) is amended as follows.
- (2) In subsection (4)(a), for “the Data Protection Act 1998 (c. 29)” substitute “ the data protection legislation ”.
- (3) In subsection (8), at the appropriate place insert—
- ““the data protection legislation” has the same meaning as in the Data Protection Act 2018 (see section 3 of that Act).”
- 146 (1) Section 85 (disclosure of information by Revenue and Customs) is amended as follows.
- (2) In subsection (8)(a), for “the Data Protection Act 1998 (c. 29)” substitute “ the data protection legislation ”.
- (3) In subsection (9), at the appropriate place insert—
- ““the data protection legislation” has the same meaning as in the Data Protection Act 2018 (see section 3 of that Act).”

VALID FROM 25/05/2018

*Legal Services Act 2007 (c. 29)*

- 147 (1) Section 169 of the Legal Services Act 2007 (disclosure of information to the Legal Services Board) is amended as follows.
- (2) In subsection (3)(a), for “the Data Protection Act 1998 (c. 29)” substitute “ the data protection legislation ”.
- (3) After subsection (8) insert—

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“(9) In this section, “the data protection legislation” has the same meaning as in the Data Protection Act 2018 (see section 3 of that Act).”

VALID FROM 25/05/2018

*Adoption and Children (Scotland) Act 2007 (asp 4)*

148 In section 74 of the Adoption and Children (Scotland) Act 2007 (disclosure of medical information about parents), for subsection (5) substitute—

“(5) In subsection (4)(e), “processing” has the same meaning as in Parts 5 to 7 of the Data Protection Act 2018 (see section 3(4) and (14) of that Act).”

VALID FROM 25/05/2018

*Criminal Justice and Immigration Act 2008 (c. 4)*

149 The Criminal Justice and Immigration Act 2008 is amended as follows.

150 Omit—

- (a) section 77 (power to alter penalty for unlawfully obtaining etc personal data), and
- (b) section 78 (new defence for obtaining etc for journalism and other special purposes).

151 (1) Section 114 (supply of information to Secretary of State etc) is amended as follows.

(2) In subsection (5), for “the Data Protection Act 1998 (c. 29)” substitute “ the data protection legislation ”.

(3) After subsection (6) insert—

“(6A) In this section, “the data protection legislation” has the same meaning as in the Data Protection Act 2018 (see section 3 of that Act).”

VALID FROM 25/05/2018

*Regulatory Enforcement and Sanctions Act 2008 (c. 13)*

152 (1) Section 70 of the Regulatory Enforcement and Sanctions Act 2008 (disclosure of information) is amended as follows.

(2) In subsection (4)(a), for “the Data Protection Act 1998 (c. 29)” substitute “ the data protection legislation ”.

(3) After subsection (5) insert—

“(6) In this section, “the data protection legislation” has the same meaning as in the Data Protection Act 2018 (see section 3 of that Act).”

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VALID FROM 25/05/2018

*Health and Social Care Act 2008 (c. 14)*

- 153 In section 20A(5) of the Health and Social Care Act 2008 (functions relating to processing of information by registered persons), in the definition of “processing”, for “the Data Protection Act 1998” substitute “ Parts 5 to 7 of the Data Protection Act 2018 (see section 3(4) and (14) of that Act); ”.

VALID FROM 25/05/2018

*Counter-Terrorism Act 2008 (c. 28)*

- 154 (1) Section 20 of the Counter-Terrorism Act 2008 (disclosure and the intelligence services: supplementary provisions) is amended as follows.
- (2) In subsection (2)(a), for “the Data Protection Act 1998 (c. 29)” substitute “ the data protection legislation ”.
- (3) After subsection (4) insert—
- “(5) In this section, “the data protection legislation” has the same meaning as in the Data Protection Act 2018 (see section 3 of that Act).”

VALID FROM 25/05/2018

*Public Health etc. (Scotland) Act 2008 (asp 5)*

- 155 (1) Section 117 of the Public Health etc. (Scotland) Act 2008 (disclosure of information) is amended as follows.
- (2) In subsection (6), for “the Data Protection Act 1998 (c. 29)” substitute “ the data protection legislation ”.
- (3) After subsection (7) insert—
- “(7A) In this section, “the data protection legislation” has the same meaning as in the Data Protection Act 2018 (see section 3 of that Act).”

VALID FROM 25/05/2018

*Banking Act 2009 (c. 1)*

- 156 (1) Section 83ZY of the Banking Act 2009 (special resolution regime: publication of notices etc) is amended as follows.
- (2) In subsection (10), for “the Data Protection Act 1998” substitute “ the data protection legislation ”.

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(3) In subsection (11), after “section” insert “—

“the data protection legislation” has the same meaning as in the Data Protection Act 2018 (see section 3 of that Act);”.

VALID FROM 25/05/2018

*Borders, Citizenship and Immigration Act 2009 (c. 11)*

157 (1) Section 19 of the Borders, Citizenship and Immigration Act 2009 (use and disclosure of customs information: application of statutory provisions) is amended as follows.

(2) In subsection (1)(a), for “the Data Protection Act 1998 (c. 29)” substitute “ the data protection legislation ”.

(3) After subsection (4) insert—

“(5) In this section, “the data protection legislation” has the same meaning as in the Data Protection Act 2018 (see section 3 of that Act).”

VALID FROM 25/05/2018

*Marine and Coastal Access Act 2009 (c. 23)*

158 The Marine and Coastal Access Act 2009 is amended as follows.

159 (1) Paragraph 13 of Schedule 7 (further provision about civil sanctions under Part 4: disclosure of information) is amended as follows.

(2) In sub-paragraph (5)(a), for “the Data Protection Act 1998 (c. 29)” substitute “ the data protection legislation ”.

(3) After sub-paragraph (6) insert—

“(7) In this paragraph, “the data protection legislation” has the same meaning as in the Data Protection Act 2018 (see section 3 of that Act).”

160 (1) Paragraph 9 of Schedule 10 (further provision about fixed monetary penalties: disclosure of information) is amended as follows.

(2) In sub-paragraph (5)(a), for “the Data Protection Act 1998 (c. 29)” substitute “ the data protection legislation ”.

(3) After sub-paragraph (6) insert—

“(7) In this paragraph, “the data protection legislation” has the same meaning as in the Data Protection Act 2018 (see section 3 of that Act).”

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VALID FROM 25/05/2018

*Coroners and Justice Act 2009 (c. 25)*

- 161 In Schedule 21 to the Coroners and Justice Act 2009 (minor and consequential amendments), omit paragraph 29(3).

VALID FROM 25/05/2018

*Broads Authority Act 2009 (c. i)*

- 162 (1) Section 38 of the Broads Authority Act 2009 (provision of information) is amended as follows.
- (2) In subsection (3), for “the Data Protection Act 1998 (c. 29)” substitute “ the data protection legislation ”.
- (3) In subsection (6), after “section” insert “—  
“the data protection legislation” has the same meaning as in the Data Protection Act 2018 (see section 3 of that Act);”.

VALID FROM 25/05/2018

*Health and Social Care (Reform) Act (Northern Ireland) 2009 (c. 1 (N.I.))*

- 163 (1) Section 13 of the Health and Social Care (Reform) Act (Northern Ireland) 2009 (functions of the Regional Agency) is amended as follows.
- (2) In subsection (8), for “the Data Protection Act 1998 (c. 29)” substitute “ the data protection legislation ”.
- (3) After subsection (8) insert—  
“(9) In this section, “the data protection legislation” has the same meaning as in the Data Protection Act 2018 (see section 3 of that Act).”

VALID FROM 25/05/2018

*Terrorist Asset-Freezing etc. Act 2010 (c. 38)*

- 164 (1) Section 25 of the Terrorist Asset-Freezing etc. Act 2010 (application of provisions) is amended as follows.
- (2) In subsection (2)(a), for “the Data Protection Act 1998” substitute “ the data protection legislation ”.
- (3) In subsection (6), at the appropriate place insert—

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““the data protection legislation” has the same meaning as in the Data Protection Act 2018 (see section 3 of that Act);”.

VALID FROM 25/05/2018

*Marine (Scotland) Act 2010 (asp 5)*

- 165 (1) Paragraph 12 of Schedule 2 to the Marine (Scotland) Act 2010 (further provision about civil sanctions under Part 4: disclosure of information) is amended as follows.
- (2) In sub-paragraph (5)(a), for “the Data Protection Act 1998 (c. 29)” substitute “ the data protection legislation ”.
- (3) After sub-paragraph (6) insert—
- “(7) In this paragraph, “the data protection legislation” has the same meaning as in the Data Protection Act 2018 (see section 3 of that Act).”

VALID FROM 25/05/2018

*Charities Act 2011 (c. 25)*

- 166 (1) Section 59 of the Charities Act 2011 (disclosure: supplementary) is amended as follows.
- (2) The existing text becomes subsection (1).
- (3) In that subsection, in paragraph (a), for “the Data Protection Act 1998” substitute “ the data protection legislation ”.
- (4) After that subsection insert—
- “(2) In this section, “the data protection legislation” has the same meaning as in the Data Protection Act 2018 (see section 3 of that Act).”

VALID FROM 25/05/2018

*Welsh Language (Wales) Measure 2011 (nawm 1)*

- 167 The Welsh Language (Wales) Measure 2011 is amended as follows.
- 168 (1) Section 22 (power to disclose information) is amended as follows.
- (2) In subsection (4)—
- (a) in the English language text, for paragraph (a) substitute—
- “(a) sections 142 to 154, 160 to 164 or 174 to 176 of, or Schedule 15 to, the Data Protection Act 2018 (certain provisions relating to enforcement);”, and
- (b) in the Welsh language text, for paragraph (a) substitute—

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“(a) adrannau 142 i 154, 160 i 164, neu 174 i 176 o Ddeddf Diogelu Data 2018 neu Atodlen 15 i'r Ddeddf honno (darpariaethau penodol yn ymwneud â gofodi);”.

(3) For subsection (5)—

(a) in the English language text substitute—

“(5) The offences referred to under subsection (3)(b) are those under—

- (a) a provision of the Data Protection Act 2018 other than paragraph 15 of Schedule 15 (obstruction of exercise of warrant etc); or
- (b) section 77 of the Freedom of Information Act 2000 (offence of altering etc records with intent to prevent disclosure).”, and

(b) in the Welsh language text substitute—

“(5) Y tramgwyddau y cyfeirir atynt yn is-adran (3)(b) yw'r rhai—

- (a) o dan ddarpariaeth yn Neddf Diogelu Data 2018 ac eithrio paragraff 15 o Atodlen 15 (rhwystro gweithredu gwarant etc); neu
- (b) o dan adran 77 o Ddeddf Rhyddid Gwybodaeth 2000 (trosedd o altro etc cofnodion gyda'r bwriad o atal datgelu).”

(4) In subsection (8)—

- (a) in the English language text, for “the Data Protection Act 1998” substitute “the data protection legislation”, and
- (b) in the Welsh language text, for “gymhwyso Deddf Diogelu Data 1998” substitute “gymhwyso'r ddeddfwriaeth diogelu data”.

(5) In subsection (9)—

(a) at the appropriate place in the English language text insert—

““the data protection legislation” (“y ddeddfwriaeth diogelu data”) has the same meaning as in the Data Protection Act 2018 (see section 3 of that Act);”, and

(b) at the appropriate place in the Welsh language text insert—

““mae i “y ddeddfwriaeth diogelu data” yr un ystyr ag a roddir i “the data protection legislation” yn Neddf Diogelu Data 2018 (gweler adran 3 o'r Ddeddf honno);”.

169 (1) Paragraph 8 of Schedule 2 (inquiries by the Commissioner: reports) is amended as follows.

(2) In sub-paragraph (7)—

- (a) in the English language text, for “the Data Protection Act 1998” substitute “the data protection legislation”, and
- (b) in the Welsh language text, for “gymhwyso Deddf Diogelu Data 1998” substitute “gymhwyso'r ddeddfwriaeth diogelu data”.

(3) In sub-paragraph (8)—

(a) in the English language text, after “this paragraph” insert “—

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“the data protection legislation” (“y ddeddfwriaeth diogelu data”) has the same meaning as in the Data Protection Act 2018 (see section 3 of that Act);”, and

(b) in the Welsh language text, after “hwn” insert—

““mae i “y ddeddfwriaeth diogelu data” yr un ystyr ag a roddir i “the data protection legislation” yn Neddf Diogelu Data 2018 (gweler adran 3 o'r Ddeddf honno);”.

VALID FROM 25/05/2018

*Safeguarding Board Act (Northern Ireland) 2011 (c. 7 (N.I))*

170 (1) Section 10 of the Safeguarding Board Act (Northern Ireland) 2011 (duty to co-operate) is amended as follows.

(2) In subsection (3), for “the Data Protection Act 1998 (c. 29)” substitute “ the data protection legislation ”.

(3) After subsection (3) insert—

“(4) In this section, “the data protection legislation” has the same meaning as in the Data Protection Act 2018 (see section 3 of that Act).”

VALID FROM 25/05/2018

*Health and Social Care Act 2012 (c. 7)*

171 The Health and Social Care Act 2012 is amended as follows.

172 In section 250(7) (power to publish information standards), for the definition of “processing” substitute—

““processing” has the same meaning as in Parts 5 to 7 of the Data Protection Act 2018 (see section 3(4) and (14) of that Act);”.

173 (1) Section 251A (consistent identifiers) is amended as follows.

(2) In subsection (7)(a), for “made by or under the Data Protection Act 1998” substitute “ of the data protection legislation ”.

(3) After subsection (8) insert—

“(9) In this section, “the data protection legislation” has the same meaning as in the Data Protection Act 2018 (see section 3 of that Act).”

174 (1) Section 251B (duty to share information) is amended as follows.

(2) In subsection (5)(a), for “made by or under the Data Protection Act 1998” substitute “ of the data protection legislation ”.

(3) After subsection (6) insert—



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“(7) In this section, “the data protection legislation” has the same meaning as in the Data Protection Act 2018 (see section 3 of that Act).”

VALID FROM 25/05/2018

*Protection of Freedoms Act 2012 (c. 9)*

175 The Protection of Freedoms Act 2012 is amended as follows.

176 (1) Section 27 (exceptions and further provision about consent and notification) is amended as follows.

(2) In subsection (5), for “the Data Protection Act 1998” substitute “ the data protection legislation ”.

(3) After subsection (5) insert—

“(6) In this section, “the data protection legislation” has the same meaning as in the Data Protection Act 2018 (see section 3 of that Act).”

177 In section 28(1) (interpretation: Chapter 2), for the definition of “processing” substitute—

““processing” has the same meaning as in Parts 5 to 7 of the Data Protection Act 2018 (see section 3(4) and (14) of that Act);”.

178 In section 29(7) (code of practice for surveillance camera systems), for the definition of “processing” substitute—

““processing” has the same meaning as in Parts 5 to 7 of the Data Protection Act 2018 (see section 3(4) and (14) of that Act);”.

VALID FROM 25/05/2018

*HGV Road User Levy Act 2013 (c. 7)*

179 (1) Section 14A of the HGV Road User Levy Act 2013 (disclosure of information by Revenue and Customs) is amended as follows.

(2) In subsection (5), for “the Data Protection Act 1998” substitute “ the data protection legislation ”.

(3) After subsection (5) insert—

“(6) In this section, “the data protection legislation” has the same meaning as in the Data Protection Act 2018 (see section 3 of that Act).”

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VALID FROM 25/05/2018

*Crime and Courts Act 2013 (c. 22)*

- 180 The Crime and Courts Act 2013 is amended as follows.
- 181 (1) Section 42 (other interpretive provisions) is amended as follows.
- (2) In subsection (5)(a), for “section 13 of the Data Protection Act 1998 (damage or distress suffered as a result of a contravention of a requirement of that Act)” substitute “ Article 82 of the GDPR or section 168 or 169 of the Data Protection Act 2018 (compensation for contravention of the data protection legislation) ”.
- (3) After subsection (5) insert—
- “(5A) In subsection (5)(a), “the GDPR” has the same meaning as in Parts 5 to 7 of the Data Protection Act 2018 (see section 3(10), (11) and (14) of that Act).”
- 182 (1) Paragraph 1 of Schedule 7 (statutory restrictions on disclosure) is amended as follows.
- (2) The existing text becomes sub-paragraph (1).
- (3) In that sub-paragraph, in paragraph (a)—
- (a) for “the Data Protection Act 1998” substitute “ the data protection legislation ”, and
- (b) for “are” substitute “ is ”.
- (4) After that sub-paragraph, insert—
- “(2) In this paragraph, “the data protection legislation” has the same meaning as in the Data Protection Act 2018 (see section 3 of that Act).”

VALID FROM 25/05/2018

*Marine Act (Northern Ireland) 2013 (c. 10 (N.I.))*

- 183 (1) Paragraph 8 of Schedule 2 to the Marine Act (Northern Ireland) 2013 (further provision about fixed monetary penalties under section 35: disclosure of information) is amended as follows.
- (2) In sub-paragraph (5)(a), for “the Data Protection Act 1998” substitute “ the data protection legislation ”.
- (3) After sub-paragraph (6) insert—
- “(7) In this paragraph, “the data protection legislation” has the same meaning as in the Data Protection Act 2018 (see section 3 of that Act).”

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VALID FROM 25/05/2018

*Local Audit and Accountability Act 2014 (c. 2)*

- 184 (1) Paragraph 3 of Schedule 9 to the Local Audit and Accountability Act 2014 (data matching: voluntary provision of data) is amended as follows.
- (2) In sub-paragraph (3)(a), for “the Data Protection Act 1998” substitute “ the data protection legislation ”.
- (3) After sub-paragraph (3) insert—
- “(3A) “The data protection legislation” has the same meaning as in the Data Protection Act 2018 (see section 3 of that Act).”
- (4) In sub-paragraph (4), for “comprise or include” substitute “ comprises or includes ”.

VALID FROM 25/05/2018

*Anti-social Behaviour, Crime and Policing Act 2014 (c. 12)*

- 185 (1) Paragraph 7 of Schedule 4 to the Anti-social Behaviour, Crime and Policing Act 2014 (anti-social behaviour case reviews: information) is amended as follows.
- (2) In sub-paragraph (4)—
- (a) for “the Data Protection Act 1998” substitute “ the data protection legislation ”, and
- (b) for “are” substitute “ is ”.
- (3) After sub-paragraph (5) insert—
- “(6) In this paragraph, “the data protection legislation” has the same meaning as in the Data Protection Act 2018 (see section 3 of that Act).”

VALID FROM 25/05/2018

*Immigration Act 2014 (c. 22)*

- 186 (1) Paragraph 6 of Schedule 6 to the Immigration Act 2014 (information: limitation on powers) is amended as follows.
- (2) The existing text becomes sub-paragraph (1).
- (3) In that sub-paragraph, in paragraph (a)—
- (a) for “the Data Protection Act 1998” substitute “ the data protection legislation ”, and
- (b) for “are” substitute “ is ”.
- (4) After that sub-paragraph insert—

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“(2) In this paragraph, “the data protection legislation” has the same meaning as in the Data Protection Act 2018 (see section 3 of that Act).”

VALID FROM 25/05/2018

*Care Act 2014 (c. 23)*

- 187 In section 67(9) of the Care Act 2014 (involvement in assessment, plans etc), for paragraph (a) substitute—
- “(a) a health record (within the meaning given in section 205 of the Data Protection Act 2018),”.

VALID FROM 25/05/2018

*Social Services and Well-being (Wales) Act 2014 (anaw 4)*

- 188 In section 18(10)(b) of the Social Services and Well-being (Wales) Act 2014 (registers of sight-impaired, hearing-impaired and other disabled people)—
- (a) in the English language text, for “(within the meaning of the Data Protection Act 1998)” substitute “ (within the meaning of Parts 5 to 7 of the Data Protection Act 2018 (see section 3(2) and (14) of that Act)) ”, and
- (b) in the Welsh language text, for “(o fewn ystyr “personal data” yn Neddf Diogelu Data 1998)” substitute “(o fewn ystyr “personal data ” yn Rhan 5 i 7 o Ddeddf Diogelu Data 2018 (gweler adran 3(2) a (14) o'r Ddeddf honno))”.

VALID FROM 25/05/2018

*Counter-Terrorism and Security Act 2015 (c. 6)*

- 189 (1) Section 38 of the Counter-Terrorism and Security Act 2015 (support etc for people vulnerable to being drawn into terrorism: co-operation) is amended as follows.
- (2) In subsection (4)(a), for “the Data Protection Act 1998” substitute “ the data protection legislation ”.
- (3) After subsection (4) insert—
- “(4A) “The data protection legislation” has the same meaning as in the Data Protection Act 2018 (see section 3 of that Act).”

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VALID FROM 25/05/2018

*Small Business, Enterprise and Employment Act 2015 (c. 26)*

- 190 (1) Section 6 of the Small Business, Enterprise and Employment Act 2015 (application of listed provisions to designated credit reference agencies) is amended as follows.
- (2) In subsection (7)—
- (a) for paragraph (b) substitute—
- “(b) Article 15(1) to (3) of the GDPR (confirmation of processing, access to data and safeguards for third country transfers);”, and
- (b) omit paragraph (c).
- (3) After subsection (7) insert—
- “(7A) In subsection (7) “the GDPR” has the same meaning as in Parts 5 to 7 of the Data Protection Act 2018 (see section 3(10), (11) and (14) of that Act).”

VALID FROM 25/05/2018

*Modern Slavery Act 2015 (c. 30)*

- 191 (1) Section 54A of the Modern Slavery Act 2015 (Gangmasters and Labour Abuse Authority: information gateways) is amended as follows.
- (2) In subsection (5)(a), for “the Data Protection Act 1998” substitute “ the data protection legislation ”.
- (3) In subsection (9), after “section” insert “—
- “the data protection legislation” has the same meaning as in the Data Protection Act 2018 (see section 3 of that Act);”.

VALID FROM 25/05/2018

*Human Trafficking and Exploitation (Criminal Justice and Support for Victims) Act (Northern Ireland) 2015 (c. 2 (N.I.))*

- 192 The Human Trafficking and Exploitation (Criminal Justice and Support for Victims) Act (Northern Ireland) 2015 is amended as follows.
- 193 In section 13(5) (duty to notify National Crime Agency about suspected victims of certain offences) for “the Data Protection Act 1998” substitute “ the data protection legislation ”.
- 194 In section 25(1) (interpretation of this Act), at the appropriate place insert—
- ““the data protection legislation” has the same meaning as in the Data Protection Act 2018 (see section 3 of that Act);”.

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195 In paragraph 18(5) of Schedule 3 (supply of information to relevant Northern Ireland departments, Secretary of State, etc) for “the Data Protection Act 1998” substitute “ the data protection legislation ”.

VALID FROM 25/05/2018

*Justice Act (Northern Ireland) 2015 (c. 9 (N.I.))*

196 (1) Section 72 of the Justice Act (Northern Ireland) 2015 (supply of information to relevant Northern Ireland departments or Secretary of State) is amended as follows.

(2) In subsection (5), for “the Data Protection Act 1998” substitute “ the data protection legislation ”.

(3) In subsection (7), at the appropriate place insert—

““the data protection legislation” has the same meaning as in the Data Protection Act 2018 (see section 3 of that Act);”.

VALID FROM 25/05/2018

*Immigration Act 2016 (c. 19)*

197 (1) Section 7 of the Immigration Act 2016 (information gateways: supplementary) is amended as follows.

(2) In subsection (2)(a), for “the Data Protection Act 1998” substitute “ the data protection legislation ”.

(3) In subsection (11), at the appropriate place insert—

““the data protection legislation” has the same meaning as in the Data Protection Act 2018 (see section 3 of that Act);”.

VALID FROM 25/05/2018

*Investigatory Powers Act 2016 (c. 25)*

198 The Investigatory Powers Act 2016 is amended as follows.

199 In section 1(5)(b), for sub-paragraph (ii) substitute—

“(ii) in section 170 of the Data Protection Act 2018 (unlawful obtaining etc of personal data);”.

200 In section 199 (bulk personal datasets: interpretation), for subsection (2) substitute—

“(2) In this Part, “personal data” means—

(a) personal data within the meaning of section 3(2) of the Data Protection Act 2018 which is subject to processing described in section 82(1) of that Act, and

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- (b) data relating to a deceased individual where the data would fall within paragraph (a) if it related to a living individual.”

PROSPECTIVE

F3 201 .....

**Textual Amendments**

**F3** Sch. 19 para. 201 omitted (29.3.2019) by virtue of The Data Protection, Privacy and Electronic Communications (Amendments etc) (EU Exit) Regulations 2019 (S.I. 2019/419), reg. 1(3), **Sch. 4 para. 3**

202 In section 206 (additional safeguards for health records), for subsection (7) substitute—

“(7) In subsection (6)—

“health professional” has the same meaning as in the Data Protection Act 2018 (see section 204(1) of that Act);

“health service body” has meaning given by section 204(4) of that Act.”

203 (1) Section 237 (information gateway) is amended as follows.

(2) In subsection (2), for “the Data Protection Act 1998” substitute “the data protection legislation”.

(3) After subsection (2) insert—

“(3) In this section, “the data protection legislation” has the same meaning as in the Data Protection Act 2018 (see section 3 of that Act).”

VALID FROM 25/05/2018

*Public Services Ombudsman Act (Northern Ireland) 2016 (c. 4 (N.I.))*

204 (1) Section 49 of the Police Services Ombudsman Act (Northern Ireland) 2016 (disclosure of information) is amended as follows.

(2) In subsection (4), for paragraph (a) substitute—

“(a) sections 142 to 154, 160 to 164 and 174 to 176 of, or Schedule 15 to, the Data Protection Act 2018 (certain provisions relating to enforcement),”.

(3) For subsection (5) substitute—

“(5) The offences are those under—

(a) any provision of the Data Protection Act 2018 other than paragraph 15 of Schedule 15 (powers of entry and inspection: offences),

(b) section 77 of the Freedom of Information Act 2000 (offence of altering etc records with intent to prevent disclosure).”

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(4) After subsection (6) insert—

“(7) In this section, “the data protection legislation” has the same meaning as in the Data Protection Act 2018 (see section 3 of that Act).”

VALID FROM 25/05/2018

*Health and Social Care (Control of Data Processing)  
 Act (Northern Ireland) 2016 (c. 12 (N.I.))*

205 (1) Section 1 of the Health and Social Care (Control of Data Processing) Act (Northern Ireland) 2016 (control of information of a relevant person) is amended as follows.

(2) In subsection (8), for “made by or under the Data Protection Act 1998” substitute “of the data protection legislation”.

(3) After subsection (12) insert—

“(12A) In this section, “the data protection legislation” has the same meaning as in the Data Protection Act 2018 (see section 3 of that Act).”

VALID FROM 25/05/2018

*Mental Capacity Act (Northern Ireland) 2016 (c. 18 (N.I.))*

206 In section 306(1) of the Mental Capacity Act (Northern Ireland) 2016 (definitions for purposes of Act), for the definition of “health record” substitute—

““health record” has the meaning given by section 205 of the Data Protection Act 2018;”.

VALID FROM 25/05/2018

*Justice Act (Northern Ireland) 2016 (c. 21 (N.I.))*

207 The Justice Act (Northern Ireland) 2016 is amended as follows.

208 (1) Section 17 (disclosure of information) is amended as follows.

(2) In subsection (7), for “the Data Protection Act 1998” substitute “the data protection legislation”.

(3) In subsection (8), after “section” insert “—

“the data protection legislation” has the same meaning as in the Data Protection Act 2018 (see section 3 of that Act);”.

209 In section 44(3) (disclosure of information)—



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- (a) in paragraph (a), for “Part 5 of the Data Protection Act 1998” substitute “ sections 142 to 154, 160 to 164 or 174 to 176 of, or Schedule 15 to, the Data Protection Act 2018 ”, and
- (b) for paragraph (b) substitute—
  - “(b) the commission of an offence under—
    - (i) a provision of the Data Protection Act 2018 other than paragraph 15 of Schedule 15 (obstruction of execution of warrant etc); or
    - (ii) section 77 of the Freedom of Information Act 2000 (offence of altering etc records with intent to prevent disclosure).”

VALID FROM 25/05/2018

*Policing and Crime Act 2017 (c. 3)*

- 210 (1) Section 50 of the Policing and Crime Act 2017 (Freedom of Information Act etc: Police Federation for England and Wales) is amended as follows.
- (2) The existing text becomes subsection (1).
  - (3) In that subsection, in paragraph (b), for “the Data Protection Act 1998” substitute “ the data protection legislation ”.
  - (4) After that subsection, insert—
    - “(2) In this section, “the data protection legislation” has the same meaning as in the Data Protection Act 2018 (see section 3 of that Act).”

VALID FROM 02/12/2019

*Children and Social Work Act 2017 (c. 12)*

- 211 In Schedule 5 to the Children and Social Work Act 2017—
- (a) in Part 1 (general amendments to do with social workers etc in England), omit paragraph 6, and
  - (b) in Part 2 (renaming of Health and Social Work Professions Order 2001), omit paragraph 47(g).

VALID FROM 25/05/2018

*Higher Education and Research Act 2017 (c. 29)*

- 212 The Higher Education and Research Act 2017 is amended as follows.
- 213 (1) Section 63 (cooperation and information sharing by the Office for Students) is amended as follows.

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- (2) In subsection (6), for “the Data Protection Act 1998” substitute “ the data protection legislation ”.
- (3) In subsection (7), at the appropriate place insert—
- ““the data protection legislation” has the same meaning as in the Data Protection Act 2018 (see section 3 of that Act);”.
- 214 (1) Section 112 (cooperation and information sharing between the Office for Students and UKRI) is amended as follows.
- (2) In subsection (6), for “the Data Protection Act 1998” substitute “ the data protection legislation ”.
- (3) After subsection (6) insert —
- “(7) In this section, “the data protection legislation” has the same meaning as in the Data Protection Act 2018 (see section 3 of that Act).”

VALID FROM 25/05/2018

*Digital Economy Act 2017 (c. 30)*

- 215 The Digital Economy Act 2017 is amended as follows.
- 216 (1) Section 40 (further provisions about disclosures under sections 35 to 39) is amended as follows.
- (2) In subsection (8)(a), for “the Data Protection Act 1998” substitute “ the data protection legislation ”.
- (3) After subsection (10) insert—
- “(11) In this section, “the data protection legislation” has the same meaning as in the Data Protection Act 2018 (see section 3 of that Act).”
- 217 (1) Section 43 (codes of practice) is amended as follows.
- (2) In subsection (2), for “issued under section 52B (data-sharing code) of the Data Protection Act 1998” substitute “ prepared under section 121 of the Data Protection Act 2018 (data-sharing code) and issued under section 125(4) of that Act ”.
- (3) In subsection (13), for “section 51(3) of the Data Protection Act 1998” substitute “ section 128 of the Data Protection Act 2018 ”.
- 218 (1) Section 49 (further provision about disclosures under section 48) is amended as follows.
- (2) In subsection (8)(a), for “the Data Protection Act 1998” substitute “ the data protection legislation ”.
- (3) After subsection (10) insert—
- “(11) In this section, “the data protection legislation” has the same meaning as in the Data Protection Act 2018 (see section 3 of that Act).”
- 219 (1) Section 52 (code of practice) is amended as follows.

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- (2) In subsection (2), for “issued under section 52B (data-sharing code) of the Data Protection Act 1998” substitute “ prepared under section 121 of the Data Protection Act 2018 (data-sharing code) and issued under section 125(4) of that Act ”.
- (3) In subsection (13), for “section 51(3) of the Data Protection Act 1998” substitute “ section 128 of the Data Protection Act 2018 (other codes of practice) ”.
- 220 (1) Section 57 (further provision about disclosures under section 56) is amended as follows.
- (2) In subsection (8)(a), for “the Data Protection Act 1998” substitute “ the data protection legislation ”.
- (3) After subsection (10) insert—
- “(11) In this section, “the data protection legislation” has the same meaning as in the Data Protection Act 2018 (see section 3 of that Act).”
- 221 (1) Section 60 (code of practice) is amended as follows.
- (2) In subsection (2), for “issued under section 52B (data-sharing code) of the Data Protection Act 1998” substitute “ prepared under section 121 of the Data Protection Act 2018 (data-sharing code) and issued under section 125(4) of that Act ”.
- (3) In subsection (13), for “section 51(3) of the Data Protection Act 1998” substitute “ section 128 of the Data Protection Act 2018 (other codes of practice) ”.
- 222 (1) Section 65 (supplementary provision about disclosures under section 64) is amended as follows.
- (2) In subsection (2)(a), for “the Data Protection Act 1998” substitute “ the data protection legislation ”.
- (3) After subsection (8) insert—
- “(9) In this section, “the data protection legislation” has the same meaning as in the Data Protection Act 2018 (see section 3 of that Act).”
- 223 (1) Section 70 (code of practice) is amended as follows.
- (2) In subsection (2), for “issued under section 52B (data-sharing code) of the Data Protection Act 1998” substitute “ prepared under section 121 of the Data Protection Act 2018 (data-sharing code) and issued under section 125(4) of that Act ”.
- (3) In subsection (15), for “section 51(3) of the Data Protection Act 1998” substitute “ section 128 of the Data Protection Act 2018 (other codes of practice) ”.
- 224 Omit sections 108 to 110 (charges payable to the Information Commissioner).

VALID FROM 25/05/2018

*Landfill Disposals Tax (Wales) Act 2017 (anaw 3)*

- 225 (1) Section 60 of the Landfill Disposals Tax (Wales) Act 2017 (disclosure of information to the Welsh Revenue Authority) is amended as follows.
- (2) In subsection (4)(a)—

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- (a) in the English language text, for “the Data Protection Act 1998 (c. 29)” substitute “the data protection legislation”, and
- (b) in the Welsh language text, for “torri Deddf Diogelu Data 1998 (p. 29)” substitute “torri'r ddeddfwriaeth diogelu data”.

(3) After subsection (7)—

- (a) in the English language text insert—

“(8) In this section, “the data protection legislation” has the same meaning as in the Data Protection Act 2018 (see section 3 of that Act).”, and

- (b) in the Welsh language text insert—

“(8) Yn yr adran hon, mae i “y ddeddfwriaeth diogelu data” yr un ystyr ag a roddir i “the data protection legislation” yn Neddf Diogelu Data 2018 (gweler adran 3 o'r Ddeddf honno).”

VALID FROM 25/05/2018

*Additional Learning Needs and Educational Tribunal (Wales) Act 2018 (anaw 2)*

226 (1) Section 4 of the Additional Learning Needs and Educational Tribunal (Wales) Act 2018 (additional learning needs code) is amended as follows.

(2) In the English language text—

- (a) in subsection (9), omit from “and in this subsection” to the end, and
- (b) after subsection (9) insert—

“(9A) In subsection (9)—

“data subject” (“*testun y data*”) has the meaning given by section 3(5) of the Data Protection Act 2018;

“personal data” (“*data personol*”) has the same meaning as in Parts 5 to 7 of that Act (see section 3(2) and (14) of that Act).”

(3) In the Welsh language text—

- (a) in subsection (9), omit from “ac yn yr is-adran hon” to the end, and
- (b) after subsection (9) insert—

“(9A) Yn is-adran (9)—

mae i “data personol” yr un ystyr ag a roddir i “personal data” yn Rhannau 5 i 7 o Ddeddf Diogelu Data 2018 (gweler adran 3(2) a (14) o'r Ddeddf honno);

mae i “testun y data” yr ystyr a roddir i “data subject” gan adran 3(5) o'r Ddeddf honno.”

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VALID FROM 02/12/2019

*This Act*

- 227 (1) Section 204 of this Act (meaning of “health professional” and “social work professional”) is amended as follows (to reflect the arrangements for the registration of social workers in England under Part 2 of the Children and Social Work Act 2017).
- (2) In subsection (1)(g)—
- (a) omit “and Social Work”, and
- (b) omit “, other than the social work profession in England”.
- (3) In subsection (2), for paragraph (a) substitute—
- “(a) a person registered as a social worker in the register maintained by Social Work England under section 39(1) of the Children and Social Work Act 2017;”.

VALID FROM 25/05/2018

**PART 2**

AMENDMENTS OF OTHER LEGISLATION

*Estate Agents (Specified Offences) (No. 2) Order 1991 (S.I. 1991/1091)*

- 228 In the table in the Schedule to the Estate Agents (Specified Offences) (No. 2) Order 1991 (specified offences), at the end insert—

“Data Protection Act Section 144 2018	False statements made in response to an information notice
Section 148	Destroying or falsifying information and documents etc”

*Channel Tunnel (International Arrangements) Order 1993 (S.I. 1993/1813)*

- 229 (1) Article 4 of the Channel Tunnel (International Arrangements) Order 1993 (application of enactments) is amended as follows.
- (2) In paragraph (2)—
- (a) for “section 5 of the Data Protection Act 1998 (“the 1998 Act”), data which are” substitute “ section 207 of the Data Protection Act 2018 (“the 2018 Act”), data which is ”,
- (b) for “data controller” substitute “ controller ”,
- (c) after “in the context of” insert “ the activities of ”, and
- (d) for “and the 1998 Act” substitute “ and the 2018 Act ”.

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(3) In paragraph (3)—

- (a) for “section 5 of the 1998 Act, data which are” substitute “ section 207 of the 2018 Act, data which is ”,
- (b) for “data controller” substitute “ controller ”,
- (c) after “in the context of” insert “ the activities of ”, and
- (d) for “and the 1998 Act” substitute “ and the 2018 Act ”.

*Access to Health Records (Northern Ireland) Order 1993 (S.I. 1993/1250 (N.I. 4))*

230 The Access to Health Records (Northern Ireland) Order 1993 is amended as follows.

231 In Article 4 (health professionals), for paragraph (1) substitute—

“(1) In this Order, “health professional” has the same meaning as in the Data Protection Act 2018 (see section 204 of that Act).”

232 In Article 5(4)(a) (fees for access to health records), for “under section 7 of the Data Protection Act 1998” substitute “ made by the Department ”.

*Channel Tunnel (Miscellaneous Provisions) Order 1994 (S.I. 1994/1405)*

233 In article 4 of the Channel Tunnel (Miscellaneous Provisions) Order 1994 (application of enactments), for paragraphs (2) and (3) substitute—

“(2) For the purposes of section 207 of the Data Protection Act 2018 (“the 2018 Act”), data which is processed in a control zone in Belgium, in connection with the carrying out of frontier controls, by an officer belonging to the United Kingdom is to be treated as processed by a controller established in the United Kingdom in the context of the activities of that establishment (and accordingly the 2018 Act applies in respect of such data).

(3) For the purposes of section 207 of the 2018 Act, data which is processed in a control zone in Belgium, in connection with the carrying out of frontier controls, by an officer belonging to the Kingdom of Belgium is to be treated as processed by a controller established in the Kingdom of Belgium in the context of the activities of that establishment (and accordingly the 2018 Act does not apply in respect of such data).”

*European Primary and Specialist Dental Qualifications Regulations 1998 (S.I. 1998/811)*

234 The European Primary and Specialist Dental Qualifications Regulations 1998 are amended as follows.

235 (1) Regulation 2(1) (interpretation) is amended as follows.

(2) Omit the definition of “Directive 95/46/EC”.

(3) At the appropriate place insert—

““the GDPR” means [Regulation \(EU\) 2016/679](#) of the European Parliament and of the Council of 27 April 2016 on the protection of natural persons with regard to the processing of personal data and on the free

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movement of such data (General Data Protection Regulation), read with Chapter 2 of Part 2 of the Data Protection Act 2018;”.

236 (1) The table in Schedule A1 (functions of the GDC under [Directive 2005/36](#)) is amended as follows.

(2) In the entry for Article 56(2), in the second column, for “Directive [95/46/EC](#)” substitute “ the GDPR ”.

(3) In the entry for Article 56a(4), in the second column, for “Directive [95/46/EC](#)” substitute “ the GDPR ”.

*Scottish Parliamentary Corporate Body (Crown Status) Order 1999 (S.I. 1999/677)*

237 For article 7 of the Scottish Parliamentary Corporate Body (Crown Status) Order 1999 substitute—

“*Data Protection Act 2018*

7 (1) The Parliamentary corporation is to be treated as a Crown body for the purposes of the Data Protection Act 2018 to the extent specified in this article.

(2) The Parliamentary corporation is to be treated as a government department for the purposes of the following provisions—

(a) section 8(d) (lawfulness of processing under the GDPR: public interest etc),

(b) section 209 (application to the Crown),

(c) paragraph 6 of Schedule 1 (statutory etc and government purposes),

(d) paragraph 7 of Schedule 2 (exemptions from the GDPR: functions designed to protect the public etc), and

(e) paragraph 8(1)(o) of Schedule 3 (exemptions from the GDPR: health data).

(3) In the provisions mentioned in paragraph (4)—

(a) references to employment by or under the Crown are to be treated as including employment as a member of staff of the Parliamentary corporation, and

(b) references to a person in the service of the Crown are to be treated as including a person so employed.

(4) The provisions are—

(a) section 24(3) (exemption for certain data relating to employment under the Crown), and

(b) section 209(6) (application of certain provisions to a person in the service of the Crown).

(5) In this article, references to a provision of Chapter 2 of Part 2 of the Data Protection Act 2018 have the same meaning as in Parts 5 to 7 of that Act (see section 3(14) of that Act).”

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*Northern Ireland Assembly Commission (Crown Status) Order 1999 (S.I. 1999/3145)*

238 For article 9 of the Northern Ireland Assembly Commission (Crown Status) Order 1999 substitute—

*“Data Protection Act 2018*

- 9 (1) The Commission is to be treated as a Crown body for the purposes of the Data Protection Act 2018 to the extent specified in this article.
- (2) The Commission is to be treated as a government department for the purposes of the following provisions—
- (a) section 8(d) (lawfulness of processing under the GDPR: public interest etc),
  - (b) section 209 (application to the Crown),
  - (c) paragraph 6 of Schedule 1 (statutory etc and government purposes),
  - (d) paragraph 7 of Schedule 2 (exemptions from the GDPR: functions designed to protect the public etc), and
  - (e) paragraph 8(1)(o) of Schedule 3 (exemptions from the GDPR: health data).
- (3) In the provisions mentioned in paragraph (4)—
- (a) references to employment by or under the Crown are to be treated as including employment as a member of staff of the Commission, and
  - (b) references to a person in the service of the Crown are to be treated as including a person so employed.
- (4) The provisions are—
- (a) section 24(3) (exemption for certain data relating to employment under the Crown), and
  - (b) section 209(6) (application of certain provisions to a person in the service of the Crown).
- (5) In this article, references to a provision of Chapter 2 of Part 2 of the Data Protection Act 2018 have the same meaning as in Parts 5 to 7 of that Act (see section 3(14) of that Act).”

*Data Protection (Corporate Finance Exemption) Order 2000 (S.I. 2000/184)*

239 The Data Protection (Corporate Finance Exemption) Order 2000 is revoked.

*Data Protection (Conditions under Paragraph 3 of Part II of Schedule 1) Order 2000 (S.I. 2000/185)*

240 The Data Protection (Conditions under Paragraph 3 of Part II of Schedule 1) Order 2000 is revoked.

*Data Protection (Functions of Designated Authority) Order 2000 (S.I. 2000/186)*

241 The Data Protection (Functions of Designated Authority) Order 2000 is revoked.



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*Data Protection (International Co-operation) Order 2000 (S.I. 2000/190)*

242 The Data Protection (International Co-operation) Order 2000 is revoked.

*Data Protection (Subject Access) (Fees and Miscellaneous Provisions) Regulations 2000 (S.I. 2000/191)*

243 The Data Protection (Subject Access) (Fees and Miscellaneous Provisions) Regulations 2000 are revoked.

*Consumer Credit (Credit Reference Agency) Regulations 2000 (S.I. 2000/290)*

244 In the Consumer Credit (Credit Reference Agency) Regulations 2000, regulation 4(1) and Schedule 1 (statement of rights under section 9(3) of the Data Protection Act 1998) are revoked.

*Data Protection (Subject Access Modification) (Health) Order 2000 (S.I. 2000/413)*

245 The Data Protection (Subject Access Modification) (Health) Order 2000 is revoked.

*Data Protection (Subject Access Modification) (Education) Order 2000 (S.I. 2000/414)*

246 The Data Protection (Subject Access Modification) (Education) Order 2000 is revoked.

*Data Protection (Subject Access Modification) (Social Work) Order 2000 (S.I. 2000/415)*

247 The Data Protection (Subject Access Modification) (Social Work) Order 2000 is revoked.

*Data Protection (Crown Appointments) Order 2000 (S.I. 2000/416)*

248 The Data Protection (Crown Appointments) Order 2000 is revoked.

*Data Protection (Processing of Sensitive Personal Data) Order 2000 (S.I. 2000/417)*

249 The Data Protection (Processing of Sensitive Personal Data) Order 2000 is revoked.

*Data Protection (Miscellaneous Subject Access Exemptions) Order 2000 (S.I. 2000/419)*

250 The Data Protection (Miscellaneous Subject Access Exemptions) Order 2000 is revoked.

*Data Protection (Designated Codes of Practice) (No. 2) Order 2000 (S.I. 2000/1864)*

251 The Data Protection (Designated Codes of Practice) (No. 2) Order 2000 is revoked.

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*Representation of the People (England and Wales) Regulations 2001 (S.I. 2001/341)*

- 252 The Representation of the People (England and Wales) Regulations 2001 are amended as follows.
- 253 In regulation 3(1) (interpretation), at the appropriate places insert—
- ““Article 89 GDPR purposes” means the purposes mentioned in Article 89(1) of the GDPR (archiving in the public interest, scientific or historical research and statistics);”;
- ““the data protection legislation” has the same meaning as in the Data Protection Act 2018 (see section 3 of that Act);”;
- ““the GDPR” means [Regulation \(EU\) 2016/679](#) of the European Parliament and of the Council of 27 April 2016 on the protection of natural persons with regard to the processing of personal data and on the free movement of such data (General Data Protection Regulation);”.
- 254 In regulation 26(3)(a) (applications for registration), for “the Data Protection Act 1998” substitute “ the data protection legislation ”.
- 255 In regulation 26A(2)(a) (application for alteration of register in respect of name under section 10ZD), for “the Data Protection Act 1998” substitute “ the data protection legislation ”.
- 256 In regulation 32ZA(3)(f) (annual canvass), for “the Data Protection Act 1998” substitute “ the data protection legislation ”.
- 257 In regulation 61A (conditions on the use, supply and inspection of absent voter records or lists), for paragraph (a) (but not the final “or”) substitute—
- “(a) Article 89 GDPR purposes;”.
- 258 (1) Regulation 92(2) (interpretation and application of Part VI etc) is amended as follows.
- (2) After sub-paragraph (b) insert—
- “(ba) “relevant requirement” means the requirement under Article 89 of the GDPR, read with section 19 of the Data Protection Act 2018, that personal data processed for Article 89 GDPR purposes must be subject to appropriate safeguards.”
- (3) Omit sub-paragraphs (c) and (d).
- 259 In regulation 96(2A)(b)(i) (restriction on use of the full register), for “section 11(3) of the Data Protection Act 1998” substitute “ section 122(5) of the Data Protection Act 2018 ”.
- 260 In regulation 97(5) and (6) (supply of free copy of full register to the British Library and restrictions on use), for “research purposes in compliance with the relevant conditions” substitute “ Article 89 GDPR purposes in accordance with the relevant requirement ”.
- 261 In regulation 97A(7) and (8) (supply of free copy of full register to the National Library of Wales and restrictions on use), for “research purposes in compliance with the relevant conditions” substitute “ Article 89 GDPR purposes in accordance with the relevant requirement ”.
- 262 In regulation 99(6) and (7) (supply of free copy of full register etc to Statistics Board and restrictions on use), for “research purposes in compliance with the

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	relevant conditions” substitute “ Article 89 GDPR purposes in accordance with the relevant requirement ”.
263	In regulation 109A(9) and (10) (supply of free copy of full register to public libraries and local authority archives services and restrictions on use), for “research purposes in compliance with the relevant conditions” substitute “ Article 89 GDPR purposes in accordance with the relevant requirement ”.
264	In regulation 119(2) (conditions on the use, supply and disclosure of documents open to public inspection), for sub-paragraph (i) (but not the final “or”) substitute— “(i) Article 89 GDPR purposes;”.
	<i>Representation of the People (Scotland) Regulations 2001 (S.I. 2001/497)</i>
265	The Representation of the People (Scotland) Regulations 2001 are amended as follows.
266	In regulation 3(1) (interpretation), at the appropriate places, insert— ““Article 89 GDPR purposes” means the purposes mentioned in Article 89(1) of the GDPR (archiving in the public interest, scientific or historical research and statistics);”; ““the data protection legislation” has the same meaning as in the Data Protection Act 2018 (see section 3 of that Act);”; ““the GDPR” means <a href="#">Regulation (EU) 2016/679</a> of the European Parliament and of the Council of 27 April 2016 on the protection of natural persons with regard to the processing of personal data and on the free movement of such data (General Data Protection Regulation);”.
267	In regulation 26(3)(a) (applications for registration), for “the Data Protection Act 1998” substitute “ the data protection legislation ”.
268	In regulation 26A(2)(a) (application for alteration of register in respect of name under section 10ZD), for “the Data Protection Act 1998” substitute “ the data protection legislation ”.
269	In regulation 32ZA(3)(f) (annual canvass), for “the Data Protection Act 1998” substitute “ the data protection legislation ”.
270	In regulation 61(3) (records and lists kept under Schedule 4), for paragraph (a) (but not the final “or”) substitute— “(a) Article 89 GDPR purposes;”.
271	In regulation 61A (conditions on the use, supply and inspection of absent voter records or lists), for paragraph (a) (but not the final “or”) substitute— “(a) Article 89 GDPR purposes;”.
272	(1) Regulation 92(2) (interpretation of Part VI etc) is amended as follows. (2) After sub-paragraph (b) insert— “(ba) “relevant requirement” means the requirement under Article 89 of the GDPR, read with section 19 of the Data Protection Act 2018, that personal data processed for Article 89 GDPR purposes must be subject to appropriate safeguards.”

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	(3) Omit sub-paragraphs (c) and (d).
273	In regulation 95(3)(b)(i) (restriction on use of the full register), for “section 11(3) of the Data Protection Act 1998” substitute “ section 122(5) of the Data Protection Act 2018 ”.
274	In regulation 96(5) and (6) (supply of free copy of full register to the National Library of Scotland and the British Library and restrictions on use), for “research purposes in compliance with the relevant conditions” substitute “ Article 89 GDPR purposes in accordance with the relevant requirement ”.
275	In regulation 98(6) and (7) (supply of free copy of full register etc to Statistics Board and restrictions on use), for “research purposes in compliance with the relevant conditions” substitute “ Article 89 GDPR purposes in accordance with the relevant requirement ”.
276	In regulation 108A(9) and (10) (supply of full register to statutory library authorities and local authority archives services and restrictions on use), for “research purposes in compliance with the relevant conditions” substitute “ Article 89 GDPR purposes in accordance with the relevant requirement ”.
277	In regulation 119(2) (conditions on the use, supply and disclosure of documents open to public inspection), for sub-paragraph (i) (but not the final “or”) substitute— “(i) Article 89 GDPR purposes;”.
	<i>Financial Services and Markets Act 2000 (Disclosure of Confidential Information) Regulations 2001 (S.I. 2001/2188)</i>
278	(1) Article 9 of the Financial Services and Markets 2000 (Disclosure of Confidential Information) Regulations 2001 (disclosure by regulators or regulator workers to certain other persons) is amended as follows. (2) In paragraph (2B), for sub-paragraph (a) substitute— “(a) the disclosure is made in accordance with Chapter V of the GDPR;”. (3) After paragraph (5) insert— “(6) In this article, “the GDPR” has the same meaning as in Parts 5 to 7 of the Data Protection Act 2018 (see section 3(10), (11) and (14) of that Act).”
	<i>Nursing and Midwifery Order 2001 (S.I. 2002/253)</i>
279	The Nursing and Midwifery Order 2001 is amended as follows.
280	(1) Article 3 (the Nursing and Midwifery Council and its Committees) is amended as follows. (2) In paragraph (18), after “enactment” insert “ or the GDPR ”. (3) After paragraph (18) insert— “(19) In this paragraph, “the GDPR” has the same meaning as in Parts 5 to 7 of the Data Protection Act 2018 (see section 3(10), (11) and (14) of that Act).”

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- 281 (1) Article 25 (the Council's power to require disclosure of information) is amended as follows.
- (2) In paragraph (3), after “enactment” insert “ or the GDPR ”.
- (3) In paragraph (6)—
- (a) for “paragraph (5),” substitute “ paragraph (3)— ”, and
- (b) at the appropriate place insert—
- ““the GDPR” has the same meaning as in Parts 5 to 7 of the Data Protection Act 2018 (see section 3(10), (11) and (14) of that Act).”
- 282 In article 39B (European professional card), after paragraph (2) insert—
- “(3) For the purposes of Schedule 2B, “the GDPR” means [Regulation \(EU\) 2016/679](#) of the European Parliament and of the Council of 27 April 2016 on the protection of natural persons with regard to the processing of personal data and on the free movement of such data (General Data Protection Regulation), read with Chapter 2 of Part 2 of the Data Protection Act 2018.”
- 283 In article 40(6) (Directive [2005/36/EC](#): designation of competent authority etc), at the appropriate place insert—
- ““the GDPR” means [Regulation \(EU\) 2016/679](#) of the European Parliament and of the Council of 27 April 2016 on the protection of natural persons with regard to the processing of personal data and on the free movement of such data (General Data Protection Regulation), read with Chapter 2 of Part 2 of the Data Protection Act 2018;”.
- 284 (1) Schedule 2B (Directive [2005/36/EC](#): European professional card) is amended as follows.
- (2) In paragraph 8(1) (access to data) for “Directive [95/46/EC](#)” substitute “ the GDPR ”.
- (3) In paragraph 9 (processing data), omit sub-paragraph (2) (deeming the Society to be the controller for the purposes of Directive [95/46/EC](#)).
- 285 (1) The table in Schedule 3 (functions of the Council under [Directive 2005/36](#)) is amended as follows.
- (2) In the entry for Article 56(2), in the second column, for “Directive [95/46/EC](#)” substitute “ the GDPR ”.
- (3) In the entry for Article 56a(4), in the second column, for “Directive [95/46/EC](#)” substitute “ the GDPR ”.
- 286 In Schedule 4 (interpretation), omit the definition of “Directive [95/46/EC](#)”.
- Electronic Commerce (EC Directive) Regulations 2002 (S.I. 2002/2013)*
- 287 Regulation 3 of the Electronic Commerce (EC Directive) Regulations 2002 (exclusions) is amended as follows.
- 288 In paragraph (1)(b) for “the Data Protection Directive and the Telecommunications Data Protection Directive” substitute “ the GDPR ”.
- 289 In paragraph (3)—

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- (a) omit the definitions of “Data Protection Directive” and “Telecommunications Data Protection Directive”, and
- (b) at the appropriate place insert—

““the GDPR” means [Regulation \(EU\) 2016/679](#) of the European Parliament and of the Council of 27 April 2016 on the protection of natural persons with regard to the processing of personal data and on the free movement of such data (General Data Protection Regulation);”.

*Data Protection (Processing of Sensitive Personal Data)  
(Elected Representatives) Order 2002 (S.I. 2002/2905)*

290 The Data Protection (Processing of Sensitive Personal Data) (Elected Representatives) Order 2002 is revoked.

*Privacy and Electronic Communications (EC Directive) Regulations 2003 (S.I. 2003/2426)*

291 The Privacy and Electronic Communications (EC Directive) Regulations 2003 are amended as follows.

292 In regulation 2(1) (interpretation), in the definition of “the Information Commissioner” and “the Commissioner”, for “section 6 of the Data Protection Act 1998” substitute “ the Data Protection Act 2018 ”.

293 (1) Regulation 4 (relationship between these Regulations and the Data Protection Act 1998) is amended as follows.

(2) The existing text becomes sub-paragraph (1).

(3) In that sub-paragraph, for “the Data Protection Act 1998” substitute “ the data protection legislation ”.

(4) After that sub-paragraph insert—

“(2) In this regulation—

“the data protection legislation” has the same meaning as in the Data Protection Act 2018 (see section 3 of that Act);

“personal data” and “processing” have the same meaning as in Parts 5 to 7 of that Act (see section 3(2), (4) and (14) of that Act).

(3) Regulation 2(2) and (3) (meaning of certain expressions) do not apply for the purposes of this regulation.”

(5) In the heading of that regulation, for “the Data Protection Act 1998” substitute “ the data protection legislation ”.

*Nationality, Immigration and Asylum Act 2002  
(Juxtaposed Controls) Order 2003 (S.I. 2003/2818)*

294 The Nationality, Immigration and Asylum Act 2002 (Juxtaposed Controls) Order 2003 is amended as follows.

295 In article 8(2) (exercise of powers by French officers in a control zone in the United Kingdom: disapplication of law of England and Wales)—

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	<p>(a) for “The Data Protection Act 1998” substitute “ The Data Protection Act 2018 ”, and</p> <p>(b) for “are” substitute “ is ”.</p>
296	<p>In article 11(4) (exercise of powers by UK immigration officers and constables in a control zone in France: enactments having effect)—</p> <p>(a) for “The Data Protection Act 1998” substitute “ The Data Protection Act 2018 ”,</p> <p>(b) for “are” substitute “ is ”,</p> <p>(c) for “section 5” substitute “ section 207 ”,</p> <p>(d) for “data controller” substitute “ controller ”, and</p> <p>(e) after “in the context of” insert “ the activities of ”.</p> <p><i>Pupils' Educational Records (Scotland) Regulations 2003 (S.S.I. 2003/581)</i></p>
297	<p>The Pupils' Educational Records (Scotland) Regulations 2003 are amended as follows.</p>
298	<p>(1) Regulation 2 (interpretation) is amended as follows.</p> <p>(2) Omit the definition of “the 1998 Act”.</p> <p>(3) At the appropriate place insert—</p> <p>““the GDPR” means <a href="#">Regulation (EU) 2016/679</a> of the European Parliament and of the Council of 27 April 2016 on the protection of natural persons with regard to the processing of personal data and on the free movement of such data (General Data Protection Regulation), read with Chapter 2 of Part 2 of the Data Protection Act 2018;”.</p>
299	<p>(1) Regulation 6 (circumstances where information should not be disclosed) is amended as follows.</p> <p>(2) After “any information” insert “ to the extent that any of the following conditions are satisfied ”.</p> <p>(3) For paragraphs (a) to (c) substitute—</p> <p>“(aa) the pupil to whom the information relates would have no right of access to the information under the GDPR;</p> <p>(ab) the information is personal data described in Article 9(1) or 10 of the GDPR (special categories of personal data and personal data relating to criminal convictions and offences);”.</p> <p>(4) In paragraph (d), for “to the extent that its disclosure” substitute “ the disclosure of the information ”.</p> <p>(5) In paragraph (e), for “that” substitute “ the information ”.</p>
300	<p>In regulation 9 (fees), for paragraph (1) substitute—</p> <p>“(1A) In complying with a request made under regulation 5(2), the responsible body may only charge a fee where Article 12(5) or Article 15(3) of the GDPR would permit the charging of a fee if the request had been made by the pupil to whom the information relates under Article 15 of the GDPR.</p>

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(1B) Where paragraph (1A) permits the charging of a fee, the responsible body may not charge a fee that—

- (a) exceeds the cost of supply, or
- (b) exceeds any limit in regulations made under section 12 of the Data Protection Act 2018 that would apply if the request had been made by the pupil to whom the information relates under Article 15 of the GDPR.”

*European Parliamentary Elections (Northern Ireland) Regulations 2004 (S.I. 2004/1267)*

301 Schedule 1 to the European Parliamentary Elections (Northern Ireland) Regulations 2004 (European Parliamentary elections rules) is amended as follows.

302 (1) Paragraph 74(1) (interpretation) is amended as follows.

(2) Omit the definitions of “relevant conditions” and “research purposes”.

(3) At the appropriate places insert—

““Article 89 GDPR purposes” means the purposes mentioned in Article 89(1) of the GDPR (archiving in the public interest, scientific or historical research and statistics);”;

““the GDPR” means [Regulation \(EU\) 2016/679](#) of the European Parliament and of the Council of 27 April 2016 on the protection of natural persons with regard to the processing of personal data and on the free movement of such data (General Data Protection Regulation);”.

303 In paragraph 77(2)(b) (conditions on the use, supply and disclosure of documents open to public inspection), for “research purposes” substitute “Article 89 GDPR purposes”.

*Freedom of Information and Data Protection (Appropriate Limit and Fees) Regulations 2004 (S.I. 2004/3244)*

304 In regulation 3(1) of the Freedom of Information and Data Protection (Appropriate Limit and Fees) Regulations 2004, omit “the appropriate limit referred to in section 9A(3) and (4) of the 1998 Act and”.

*Environmental Information Regulations 2004 (S.I. 2004/3391)*

305 The Environmental Information Regulations 2004 are amended as follows.

306 (1) Regulation 2 (interpretation) is amended as follows.

(2) In paragraph (1), at the appropriate places, insert—

““the data protection principles” means the principles set out in—

- (a) Article 5(1) of the GDPR,
- (b) section 34(1) of the Data Protection Act 2018, and
- (c) section 85(1) of that Act;”;

““data subject” has the same meaning as in the Data Protection Act 2018 (see section 3 of that Act);”;



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““the GDPR” and references to a provision of Chapter 2 of Part 2 of the Data Protection Act 2018 have the same meaning as in Parts 5 to 7 of that Act (see section 3(10), (11) and (14) of that Act);”;

““personal data” has the same meaning as in Parts 5 to 7 of the Data Protection Act 2018 (see section 3(2) and (14) of that Act);”.

(3) For paragraph (4) substitute—

“(4A) In these Regulations, references to the Data Protection Act 2018 have effect as if in Chapter 3 of Part 2 of that Act (other general processing)—

- (a) the references to an FOI public authority were references to a public authority as defined in these Regulations, and
- (b) the references to personal data held by such an authority were to be interpreted in accordance with regulation 3(2).”

307 (1) Regulation 13 (personal data) is amended as follows.

(2) For paragraph (1) substitute—

“(1) To the extent that the information requested includes personal data of which the applicant is not the data subject, a public authority must not disclose the personal data if—

- (a) the first condition is satisfied, or
- (b) the second or third condition is satisfied and, in all the circumstances of the case, the public interest in not disclosing the information outweighs the public interest in disclosing it.”

(3) For paragraph (2) substitute—

“(2A) The first condition is that the disclosure of the information to a member of the public otherwise than under these Regulations—

- (a) would contravene any of the data protection principles, or
- (b) would do so if the exemptions in section 24(1) of the Data Protection Act 2018 (manual unstructured data held by public authorities) were disregarded.

(2B) The second condition is that the disclosure of the information to a member of the public otherwise than under these Regulations would contravene—

- (a) Article 21 of the GDPR (general processing: right to object to processing), or
- (b) section 99 of the Data Protection Act 2018 (intelligence services processing: right to object to processing).”

(4) For paragraph (3) substitute—

“(3A) The third condition is that—

- (a) on a request under Article 15(1) of the GDPR (general processing: right of access by the data subject) for access to personal data, the information would be withheld in reliance on provision made by or under section 15, 16 or 26 of, or Schedule 2, 3 or 4 to, the Data Protection Act 2018,

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- (b) on a request under section 45(1)(b) of that Act (law enforcement processing: right of access by the data subject), the information would be withheld in reliance on subsection (4) of that section, or
- (c) on a request under section 94(1)(b) of that Act (intelligence services processing: rights of access by the data subject), the information would be withheld in reliance on a provision of Chapter 6 of Part 4 of that Act.”

(5) Omit paragraph (4).

(6) For paragraph (5) substitute—

“(5A) For the purposes of this regulation a public authority may respond to a request by neither confirming nor denying whether such information exists and is held by the public authority, whether or not it holds such information, to the extent that—

- (a) the condition in paragraph (5B)(a) is satisfied, or
- (b) a condition in paragraph (5B)(b) to (e) is satisfied and in all the circumstances of the case, the public interest in not confirming or denying whether the information exists outweighs the public interest in doing so.

(5B) The conditions mentioned in paragraph (5A) are—

- (a) giving a member of the public the confirmation or denial—
  - (i) would (apart from these Regulations) contravene any of the data protection principles, or
  - (ii) would do so if the exemptions in section 24(1) of the Data Protection Act 2018 (manual unstructured data held by public authorities) were disregarded;
- (b) giving a member of the public the confirmation or denial would (apart from these Regulations) contravene Article 21 of the GDPR or section 99 of the Data Protection Act 2018 (right to object to processing);
- (c) on a request under Article 15(1) of the GDPR (general processing: right of access by the data subject) for confirmation of whether personal data is being processed, the information would be withheld in reliance on a provision listed in paragraph (3A)(a);
- (d) on a request under section 45(1)(a) of the Data Protection Act 2018 (law enforcement processing: right of access by the data subject), the information would be withheld in reliance on subsection (4) of that section;
- (e) on a request under section 94(1)(a) of that Act (intelligence services processing: rights of access by the data subject), the information would be withheld in reliance on a provision of Chapter 6 of Part 4 of that Act.”

(7) After that paragraph insert—

“(6) In determining for the purposes of this regulation whether the lawfulness principle in Article 5(1)(a) of the GDPR would be contravened by the disclosure of information, Article 6(1) of the GDPR (lawfulness) is to be read as if the second sub-paragraph (disapplying the legitimate interests gateway in relation to public authorities) were omitted.”

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- 308 In regulation 14 (refusal to disclose information), in paragraph (3)(b), for  
“regulations 13(2)(a)(ii) or 13(3)” substitute “ regulation 13(1)(b) or (5A) ”.
- 309 In regulation 18 (enforcement and appeal provisions), in paragraph (5), for  
“regulation 13(5)” substitute “ regulation 13(5A) ”.
- Environmental Information (Scotland) Regulations 2004 (S.S.I. 2004/520)*
- 310 The Environmental Information (Scotland) Regulations 2004 are amended as  
follows.
- 311 (1) Regulation 2 (interpretation) is amended as follows.
- (2) In paragraph (1), at the appropriate places, insert—
- ““the data protection principles” means the principles set out in—
- (a) Article 5(1) of the GDPR, and
- (b) section 34(1) of the Data Protection Act 2018;”;
- ““data subject” has the same meaning as in the Data Protection Act 2018  
(see section 3 of that Act);”;
- ““the GDPR” and references to a provision of Chapter 2 of Part 2 of the  
Data Protection Act 2018 have the same meaning as in Parts 5 to 7 of that  
Act (see section 3(10), (11) and (14) of that Act);”;
- ““personal data” has the same meaning as in Parts 5 to 7 of the Data  
Protection Act 2018 (see section 3(2) and (14) of that Act);”.
- (3) For paragraph (3) substitute—
- “(3A) In these Regulations, references to the Data Protection Act 2018 have effect  
as if in Chapter 3 of Part 2 of that Act (other general processing)—
- (a) the references to an FOI public authority were references to a  
Scottish public authority as defined in these Regulations, and
- (b) the references to personal data held by such an authority were to  
be interpreted in accordance with paragraph (2) of this regulation.”
- 312 (1) Regulation 11 (personal data) is amended as follows.
- (2) For paragraph (2) substitute—
- “(2) To the extent that environmental information requested includes personal  
data of which the applicant is not the data subject, a Scottish public  
authority must not make the personal data available if—
- (a) the first condition set out in paragraph (3A) is satisfied, or
- (b) the second or third condition set out in paragraph (3B) or (4A) is  
satisfied and, in all the circumstances of the case, the public interest  
in making the information available is outweighed by that in not  
doing so.”
- (3) For paragraph (3) substitute—
- “(3A) The first condition is that the disclosure of the information to a member of  
the public otherwise than under these Regulations—
- (a) would contravene any of the data protection principles, or

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(b) would do so if the exemptions in section 24(1) of the Data Protection Act 2018 (manual unstructured data held by public authorities) were disregarded.

(3B) The second condition is that the disclosure of the information to a member of the public otherwise than under these Regulations would contravene Article 21 of the GDPR (general processing: right to object to processing).”

(4) For paragraph (4) substitute—

“(4A) The third condition is that any of the following applies to the information—

(a) it is exempt from the obligation under Article 15(1) of the GDPR (general processing: right of access by the data subject) to provide access to, and information about, personal data by virtue of provision made by or under section 15, 16 or 26 of, or Schedule 2, 3 or 4 to, the Data Protection Act 2018, or

(b) on a request under section 45(1)(b) of that Act (law enforcement processing: right of access by the data subject), the information would be withheld in reliance on subsection (4) of that section.”

(5) Omit paragraph (5).

(6) After paragraph (6) insert—

“(7) In determining, for the purposes of this regulation, whether the lawfulness principle in Article 5(1)(a) of the GDPR would be contravened by the disclosure of information, Article 6(1) of the GDPR (lawfulness) is to be read as if the second sub-paragraph (disapplying the legitimate interests gateway in relation to public authorities) were omitted.”

*Licensing Act 2003 (Personal Licences) Regulations 2005 (S.I. 2005/41)*

313 (1) Regulation 7 of the Licensing Act 2003 (Personal Licences) Regulations 2005 (application for grant of a personal licence) is amended as follows.

(2) In paragraph (1)(b)—

(a) for paragraph (iii) (but not the final “, and”) substitute—

“(iii) the results of a request made under Article 15 of the GDPR or section 45 of the Data Protection Act 2018 (rights of access by the data subject) to the National Identification Service for information contained in the Police National Computer”, and

(b) in the words following paragraph (iii), omit “search”.

(3) After paragraph (2) insert—

“(3) In this regulation, “the GDPR” has the same meaning as in Parts 5 to 7 of the Data Protection Act 2018 (see section 3(10), (11) and (14) of that Act).”

*Education (Pupil Information) (England) Regulations 2005 (S.I. 2005/1437)*

314 The Education (Pupil Information) (England) Regulations 2005 are amended as follows.

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- 315 In regulation 3(5) (meaning of educational record) for “section 1(1) of the Data Protection Act 1998” substitute “ section 3(4) of the Data Protection Act 2018 ”.
- 316 (1) Regulation 5 (disclosure of curricular and educational records) is amended as follows.
- (2) In paragraph (4)—
- (a) in sub-paragraph (a), for “the Data Protection Act 1998” substitute “ the GDPR ”, and
- (b) in sub-paragraph (b), for “that Act or by virtue of any order made under section 30(2) or section 38(1) of the Act” substitute “ the GDPR ”.
- (3) After paragraph (6) insert—
- “(7) In this regulation, “the GDPR” means [Regulation \(EU\) 2016/679](#) of the European Parliament and of the Council of 27 April 2016 on the protection of natural persons with regard to the processing of personal data and on the free movement of such data (General Data Protection Regulation), read with Chapter 2 of Part 2 of the Data Protection Act 2018.”
- Civil Contingencies Act 2004 (Contingency Planning) Regulations 2005 (S.I. 2005/2042)*
- 317 (1) Regulation 45 of the Civil Contingencies Act 2004 (Contingency Planning) Regulations 2005 (sensitive information) is amended as follows.
- (2) In paragraph (1)(d)—
- (a) omit “, within the meaning of section 1(1) of the Data Protection Act 1998”, and
- (b) for “(2) or (3)” substitute “ (1A), (1B) or (1C) ”.
- (3) After paragraph (1) insert—
- “(1A) The condition in this paragraph is that the disclosure of the information to a member of the public—
- (a) would contravene any of the data protection principles, or
- (b) would do so if the exemptions in section 24(1) of the Data Protection Act 2018 (manual unstructured data held by public authorities) were disregarded.
- (1B) The condition in this paragraph is that the disclosure of the information to a member of the public would contravene—
- (a) Article 21 of the GDPR (general processing: right to object to processing), or
- (b) section 99 of the Data Protection Act 2018 (intelligence services processing: right to object to processing).
- (1C) The condition in this paragraph is that—
- (a) on a request under Article 15(1) of the GDPR (general processing: right of access by the data subject) for access to personal data, the information would be withheld in reliance on provision made by or under section 15, 16 or 26 of, or Schedule 2, 3 or 4 to, the Data Protection Act 2018,

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- (b) on a request under section 45(1)(b) of that Act (law enforcement processing: right of access by the data subject), the information would be withheld in reliance on subsection (4) of that section, or
- (c) on a request under section 94(1)(b) of that Act (intelligence services processing: rights of access by the data subject), the information would be withheld in reliance on a provision of Chapter 6 of Part 4 of that Act.

(1D) In this regulation—

“the data protection principles” means the principles set out in—

- (a) Article 5(1) of the GDPR,
- (b) section 34(1) of the Data Protection Act 2018, and
- (c) section 85(1) of that Act;

“the GDPR” and references to a provision of Chapter 2 of Part 2 of the Data Protection Act 2018 have the same meaning as in Parts 5 to 7 of that Act (see section 3(10), (11) and (14) of that Act);

“personal data” has the same meaning as in Parts 5 to 7 of the Data Protection Act 2018 (see section 3(2) and (14) of that Act).

(1E) In determining for the purposes of this regulation whether the lawfulness principle in Article 5(1)(a) of the GDPR would be contravened by the disclosure of information, Article 6(1) of the GDPR (lawfulness) is to be read as if the second sub-paragraph (disapplying the legitimate interests gateway in relation to public authorities) were omitted.”

(4) Omit paragraphs (2) to (4).

*Register of Judgments, Orders and Fines Regulations 2005 (S.I. 2005/3595)*

318 In regulation 3 of the Register of Judgments, Orders and Fines Regulations 2005 (interpretation)—

- (a) for the definition of “data protection principles” substitute—

““data protection principles” means the principles set out in Article 5(1) of the GDPR;”, and

- (b) at the appropriate place insert—

““the GDPR” has the same meaning as in Parts 5 to 7 of the Data Protection Act 2018 (see section 3(10), (11) and (14) of that Act);”.

*Civil Contingencies Act 2004 (Contingency Planning)  
(Scotland) Regulations 2005 (S.S.I. 2005/494)*

319 The Civil Contingencies Act 2004 (Contingency Planning) (Scotland) Regulations 2005 are amended as follows.

320 (1) Regulation 39 (sensitive information) is amended as follows.

(2) In paragraph (1)(d)—

- (a) omit “, within the meaning of section 1(1) of the Data Protection Act 1998”, and
- (b) for “(2) or (3)” substitute “(1A), (1B) or (1C)”.

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(3) After paragraph (1) insert—

“(1A) The condition in this paragraph is that the disclosure of the information to a member of the public—

- (a) would contravene any of the data protection principles, or
- (b) would do so if the exemptions in section 24(1) of the Data Protection Act 2018 (manual unstructured data held by public authorities) were disregarded.

(1B) The condition in this paragraph is that the disclosure of the information to a member of the public would contravene—

- (a) Article 21 of the GDPR (general processing: right to object to processing), or
- (b) section 99 of the Data Protection Act 2018 (intelligence services processing: right to object to processing).

(1C) The condition in this paragraph is that—

- (a) on a request under Article 15(1) of the GDPR (general processing: right of access by the data subject) for access to personal data, the information would be withheld in reliance on provision made by or under section 15, 16 or 26 of, or Schedule 2, 3 or 4 to, the Data Protection Act 2018,
- (b) on a request under section 45(1)(b) of that Act (law enforcement processing: right of access by the data subject), the information would be withheld in reliance on subsection (4) of that section, or
- (c) on a request under section 94(1)(b) of that Act (intelligence services processing: rights of access by the data subject), the information would be withheld in reliance on a provision of Chapter 6 of Part 4 of that Act.

(1D) In this regulation—

“the data protection principles” means the principles set out in—

- (a) Article 5(1) of the GDPR,
- (b) section 34(1) of the Data Protection Act 2018, and
- (c) section 85(1) of that Act;

“data subject” has the same meaning as in the Data Protection Act 2018 (see section 3 of that Act);

“the GDPR” and references to a provision of Chapter 2 of Part 2 of the Data Protection Act 2018 have the same meaning as in Parts 5 to 7 of that Act (see section 3(10), (11) and (14) of that Act);

“personal data” has the same meaning as in Parts 5 to 7 of the Data Protection Act 2018 (see section 3(2) and (14) of that Act).

(1E) In determining for the purposes of this regulation whether the lawfulness principle in Article 5(1)(a) of the GDPR would be contravened by the disclosure of information, Article 6(1) of the GDPR (lawfulness) is to be read as if the second sub-paragraph (disapplying the legitimate interests gateway in relation to public authorities) were omitted.”

(4) Omit paragraphs (2) to (4).

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*Data Protection (Processing of Sensitive Personal Data) Order 2006 (S.I. 2006/2068)*

321 The Data Protection (Processing of Sensitive Personal Data) Order 2006 is revoked.

*National Assembly for Wales (Representation of the People) Order 2007 (S.I. 2007/236)*

322 (1) Paragraph 14 of Schedule 1 to the National Assembly for Wales (Representation of the People) Order 2007 (absent voting at Assembly elections: conditions on the use, supply and inspection of absent vote records or lists) is amended as follows.

(2) The existing text becomes sub-paragraph (1).

(3) For paragraph (a) of that sub-paragraph (but not the final “or”) substitute—

“(a) purposes mentioned in Article 89(1) of the GDPR (archiving in the public interest, scientific or historical research and statistics);”.

(4) After that sub-paragraph insert—

“(2) In this paragraph, “the GDPR” means [Regulation \(EU\) 2016/679](#) of the European Parliament and of the Council of 27 April 2016 on the protection of natural persons with regard to the processing of personal data and on the free movement of such data (General Data Protection Regulation).”

*Mental Capacity Act 2005 (Loss of Capacity during Research Project) (England) Regulations 2007 (S.I. 2007/679)*

323 In regulation 3 of the Mental Capacity Act 2005 (Loss of Capacity during Research Project) (England) Regulations 2007 (research which may be carried out despite a participant's loss of capacity), for paragraph (b) substitute—

“(b) any material used consists of or includes human cells or human DNA.”.

*National Assembly for Wales Commission (Crown Status) Order 2007 (S.I. 2007/1118)*

324 For article 5 of the National Assembly for Wales Commission (Crown Status) Order 2007 substitute—

*“Data Protection Act 2018*

5 (1) The Assembly Commission is to be treated as a Crown body for the purposes of the Data Protection Act 2018 to the extent specified in this article.

(2) The Assembly Commission is to be treated as a government department for the purposes of the following provisions—

(a) section 8(d) (lawfulness of processing under the GDPR: public interest etc),

(b) section 209 (application to the Crown),

(c) paragraph 6 of Schedule 1 (statutory etc and government purposes),

(d) paragraph 7 of Schedule 2 (exemptions from the GDPR: functions designed to protect the public etc), and



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(e) paragraph 8(1)(o) of Schedule 3 (exemptions from the GDPR: health data).

(3) In the provisions mentioned in paragraph (4)—

- (a) references to employment by or under the Crown are to be treated as including employment as a member of staff of the Assembly Commission, and
- (b) references to a person in the service of the Crown are to be treated as including a person so employed.

(4) The provisions are—

- (a) section 24(3) (exemption for certain data relating to employment under the Crown), and
- (b) section 209(6) (application of certain provisions to a person in the service of the Crown).

(5) In this article, references to a provision of Chapter 2 of Part 2 of the Data Protection Act 2018 have the same meaning as in Parts 5 to 7 of that Act (see section 3(14) of that Act).”

*Mental Capacity Act 2005 (Loss of Capacity during Research Project) (Wales) Regulations 2007 (S.I. 2007/837 (W.72))*

325 In regulation 3 of the Mental Capacity Act 2005 (Loss of Capacity during Research Project) (Wales) Regulations 2007 (research which may be carried out despite a participant's loss of capacity) —

- (a) in the English language text, for paragraph (c) substitute—
  - “(c) any material used consists of or includes human cells or human DNA; and”, and
- (b) in the Welsh language text, for paragraph (c) substitute—
  - “(c) os yw unrhyw ddeunydd a ddefnyddir yn gelloedd dynol neu'n DNA dynol neu yn eu cynnwys; ac”.

*Representation of the People (Absent Voting at Local Elections) (Scotland) Regulations 2007 (S.S.I. 2007/170)*

326 (1) Regulation 18 of the Representation of the People (Absent Voting at Local Elections) (Scotland) Regulations 2007 (conditions on the supply and inspection of absent voter records or lists) is amended as follows.

- (2) In paragraph (1), for sub-paragraph (a) (but not the final “or”) substitute—
  - “(a) purposes mentioned in Article 89(1) of the GDPR (archiving in the public interest, scientific or historical research and statistics);”.

(3) After paragraph (1) insert—

“(2) In this regulation, “the GDPR” means [Regulation \(EU\) 2016/679](#) of the European Parliament and of the Council of 27 April 2016 on the protection of natural persons with regard to the processing of personal data and on the free movement of such data (General Data Protection Regulation).”

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*Representation of the People (Post-Local Government Elections Supply and Inspection of Documents) (Scotland) Regulations 2007 (S.S.I. 2007/264)*

327 In regulation 5 of the Representation of the People (Post-Local Government Elections Supply and Inspection of Documents) (Scotland) Regulations 2007 (conditions on the use, supply and disclosure of documents open to public inspection)—

(a) in paragraph (2), for sub-paragraph (i) (but not the final “or”) substitute—

“(i) purposes mentioned in Article 89(1) of the GDPR (archiving in the public interest, scientific or historical research and statistics);”, and

(b) after paragraph (3) insert—

“(4) In this regulation, “the GDPR” means [Regulation \(EU\) 2016/679](#) of the European Parliament and of the Council of 27 April 2016 on the protection of natural persons with regard to the processing of personal data and on the free movement of such data (General Data Protection Regulation).”

*Education (Pupil Records and Reporting) (Transitional) Regulations (Northern Ireland) 2007 (S.R. (N.I.) 2007 No. 43)*

328 The Education (Pupil Records and Reporting) (Transitional) Regulations (Northern Ireland) 2007 are amended as follows.

329 In regulation 2 (interpretation), at the appropriate place insert—

““the GDPR” means [Regulation \(EU\) 2016/679](#) of the European Parliament and of the Council of 27 April 2016 on the protection of natural persons with regard to the processing of personal data and on the free movement of such data (General Data Protection Regulation), read with Chapter 2 of Part 2 of the Data Protection Act 2018;”.

330 In regulation 10(2) (duties of Boards of Governors), for “documents which are the subject of an order under section 30(2) of the Data Protection Act 1998” substitute “ information to which the pupil to whom the information relates would have no right of access under the GDPR ”.

*Representation of the People (Northern Ireland) Regulations 2008 (S.I. 2008/1741)*

331 In regulation 118 of the Representation of the People (Northern Ireland) Regulations 2008 (conditions on the use, supply and disclosure of documents open to public inspection)—

(a) in paragraph (2), for “research purposes within the meaning of that term in section 33 of the Data Protection Act 1998” substitute “ purposes mentioned in Article 89(1) of the GDPR (archiving in the public interest, scientific or historical research and statistics) ”, and

(b) after paragraph (3) insert—

“(4) In this regulation, “the GDPR” means [Regulation \(EU\) 2016/679](#) of the European Parliament and of the Council of 27 April 2016 on the protection of natural persons with regard to

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the processing of personal data and on the free movement of such data (General Data Protection Regulation).”

*Companies Act 2006 (Extension of Takeover Panel Provisions) (Isle of Man) Order 2008 (S.I. 2008/3122)*

- 332 In paragraph 1(c) of the Schedule to the Companies Act 2006 (Extension of Takeover Panel Provisions) (Isle of Man) Order 2008 (modifications with which Chapter 1 of Part 28 of the Companies Act 2006 extends to the Isle of Man), for “the Data Protection Act 1998 (c 29)” substitute “ the data protection legislation ”.

*Controlled Drugs (Supervision of Management and Use) (Wales) Regulations 2008 (S.I. 2008/3239 (W.286))*

- 333 The Controlled Drugs (Supervision of Management and Use) (Wales) Regulations 2008 are amended as follows.

- 334 In regulation 2(1) (interpretation)—

- (a) at the appropriate place in the English language text insert—

““the GDPR” (“y GDPR”) and references to Schedule 2 to the Data Protection Act 2018 have the same meaning as in Parts 5 to 7 of that Act (see section 3(10), (11) and (14) of that Act);”, and

- (b) at the appropriate place in the Welsh language text insert—

““mae i “y GDPR” a chyfeiriadau at Atodlen 2 i Ddeddf Diogelu Data 2018 yr un ystyr ag a roddir i “the GDPR” a chyfeiriadau at yr Atodlen honno yn Rhannau 5 i 7 o'r Ddeddf honno (gweler adran 3(10), (11) a (14) o'r Ddeddf honno);”.”

- 335 (1) Regulation 25 (duty to co-operate by disclosing information as regards relevant persons) is amended as follows.

- (2) In paragraph (7)—

- (a) in the English language text, at the end insert “ or the GDPR ”, and  
(b) in the Welsh language text, at the end insert “neu'r GDPR”.

- (3) For paragraph (8)—

- (a) in the English language text substitute—

“(8) In determining for the purposes of paragraph (7) whether disclosure is prohibited, it is to be assumed for the purposes of paragraph 5(2) of Schedule 2 to the Data Protection Act 2018 and paragraph 3(2) of Schedule 11 to that Act (exemptions from certain provisions of the data protection legislation: disclosures required by law) that the disclosure is required by this regulation.”, and

- (b) in the Welsh language text substitute—

“(8) Wrth benderfynu at ddibenion paragraff (7) a yw datgeliad wedi'i wahardd, mae i'w dybied at ddibenion paragraff 5(2) o Atodlen 2 i Ddeddf Diogelu Data 2018 a pharagraff 3(2) o Atodlen 11 i'r Ddeddf honno (esemptiadau rhag darpariaethau penodol o'r ddeddfwriaeth diogelu data: datgeliadau sy'n ofynnol gan y gyfraith) bod y datgeliad yn ofynnol gan y rheoliad hwn.”

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- 336 (1) Regulation 26 (responsible bodies requesting additional information be disclosed about relevant persons) is amended as follows.
- (2) In paragraph (6)—
- (a) in the English language text, at the end insert “ or the GDPR ”, and
- (b) in the Welsh language text, at the end insert “neu'r GDPR”.
- (3) For paragraph (7)—
- (a) in the English language text substitute—
- “(7) In determining for the purposes of paragraph (6) whether disclosure is prohibited, it is to be assumed for the purposes of paragraph 5(2) of Schedule 2 to the Data Protection Act 2018 and paragraph 3(2) of Schedule 11 to that Act (exemptions from certain provisions of the data protection legislation: disclosures required by law) that the disclosure is required by this regulation.”, and
- (b) in the Welsh language text substitute—
- “(7) Wrth benderfynu at ddibenion paragraff (6) a yw datgeliad wedi'i wahardd, mae i'w dybied at ddibenion paragraff 5(2) o Atodlen 2 i Ddeddf Diogelu Data 2018 a pharagraff 3(2) o Atodlen 11 i'r Ddeddf honno (esemptiadau rhag darpariaethau penodol o'r ddeddfwriaeth diogelu data: datgeliadau sy'n ofynnol gan y gyfraith) bod y datgeliad yn ofynnol gan y rheoliad hwn.”
- 337 (1) Regulation 29 (occurrence reports) is amended as follows.
- (2) In paragraph (3)—
- (a) in the English language text, at the end insert “ or the GDPR ”, and
- (b) in the Welsh language text, at the end insert “neu'r GDPR”.
- (3) For paragraph (4)—
- (a) in the English language text substitute—
- “(4) In determining for the purposes of paragraph (3) whether disclosure is prohibited, it is to be assumed for the purposes of paragraph 5(2) of Schedule 2 to the Data Protection Act 2018 and paragraph 3(2) of Schedule 11 to that Act (exemptions from certain provisions of the data protection legislation: disclosures required by law) that the disclosure is required by this regulation.”, and
- (b) in the Welsh language text substitute—
- “(4) Wrth benderfynu at ddibenion paragraff (3) a yw datgeliad wedi'i wahardd, mae i'w dybied at ddibenion paragraff 5(2) o Atodlen 2 i Ddeddf Diogelu Data 2018 a pharagraff 3(2) o Atodlen 11 i'r Ddeddf honno (esemptiadau rhag darpariaethau penodol o'r ddeddfwriaeth diogelu data: datgeliadau sy'n ofynnol gan y gyfraith) bod y datgeliad yn ofynnol gan y rheoliad hwn.”
- Energy Order 2003 (Supply of Information) Regulations  
(Northern Ireland) 2008 (S.R. (N.I.) 2008 No. 3)*
- 338 (1) Regulation 5 of the Energy Order 2003 (Supply of Information) Regulations (Northern Ireland) 2008 (information whose disclosure would be affected by the application of other legislation) is amended as follows.

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- (2) In paragraph (3)—
- (a) omit “within the meaning of section 1(1) of the Data Protection Act 1998”, and
  - (b) for the words from “where” to the end substitute “ if the condition in paragraph (3A) or (3B) is satisfied ”.

- (3) After paragraph (3) insert—

“(3A) The condition in this paragraph is that the disclosure of the information to a member of the public—

- (a) would contravene any of the data protection principles, or
- (b) would do so if the exemptions in section 24(1) of the Data Protection Act 2018 (manual unstructured data held by public authorities) were disregarded.

(3B) The condition in this paragraph is that the disclosure of the information to a member of the public would contravene—

- (a) Article 21 of the GDPR (general processing: right to object to processing), or
- (b) section 99 of the Data Protection Act 2018 (intelligence services processing: right to object to processing).”

- (4) After paragraph (4) insert—

“(5) In this regulation—

“the data protection principles” means the principles set out in—

- (a) Article 5(1) of the GDPR,
- (b) section 34(1) of the Data Protection Act 2018, and
- (c) section 85(1) of that Act;

“the GDPR” has the same meaning as in Parts 5 to 7 of the Data Protection Act 2018 (see section 3(10), (11) and (14) of that Act);

“personal data” has the same meaning as in Parts 5 to 7 of the Data Protection Act 2018 (see section 3(2) and (14) of that Act).”

*Companies (Disclosure of Address) Regulations 2009 (S.I. 2009/214)*

- 339 (1) Paragraph 6 of Schedule 2 to the Companies (Disclosure of Address) Regulations 2009 (conditions for permitted disclosure to a credit reference agency) is amended as follows.

- (2) The existing text becomes sub-paragraph (1).

- (3) In paragraph (b) of that sub-paragraph, for sub-paragraph (ii) substitute—

“(ii) for the purposes of ensuring that it complies with its data protection obligations;”.

- (4) In paragraph (c) of that sub-paragraph—

- (a) omit “or” at the end of sub-paragraph (i), and
- (b) at the end insert “; or

(iii) section 144 of the Data Protection Act 2018 (false statements made in response to an information

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notice) or section 148 of that Act (destroying or falsifying information and documents etc);”.

(5) After paragraph (c) of that sub-paragraph insert—

“(d) has not been given a penalty notice under section 155 of the Data Protection Act 2018 in circumstances described in paragraph (c) (ii), other than a penalty notice that has been cancelled.”

(6) After sub-paragraph (1) insert—

“(2) In this paragraph, “data protection obligations”, in relation to a credit reference agency, means—

- (a) where the agency carries on business in the United Kingdom, obligations under the data protection legislation (as defined in section 3 of the Data Protection Act 2018);
- (b) where the agency carries on business in a EEA State other than the United Kingdom, obligations under—
  - (i) the GDPR (as defined in section 3(10) of the Data Protection Act 2018),
  - (ii) legislation made in exercise of powers conferred on member States under the GDPR (as so defined), and
  - (iii) legislation implementing the Law Enforcement Directive (as defined in section 3(12) of the Data Protection Act 2018).”

*Overseas Companies Regulations 2009 (S.I. 2009/1801)*

340 (1) Paragraph 6 of Schedule 2 to the Overseas Companies Regulations 2009 (conditions for permitted disclosure to a credit reference agency) is amended as follows.

(2) The existing text becomes sub-paragraph (1).

(3) In paragraph (b) of that sub-paragraph, for sub-paragraph (ii) substitute—

“(ii) for the purposes of ensuring that it complies with its data protection obligations;”.

(4) In paragraph (c) of that sub-paragraph—

- (a) omit “or” at the end of sub-paragraph (i), and
- (b) at the end insert “; or

(iii) section 144 of the Data Protection Act 2018 (false statements made in response to an information notice) or section 148 of that Act (destroying or falsifying information and documents etc);”.

(5) After paragraph (c) of that sub-paragraph insert—

“(d) has not been given a penalty notice under section 155 of the Data Protection Act 2018 in circumstances described in paragraph (c) (ii), other than a penalty notice that has been cancelled.”

(6) After sub-paragraph (1) insert—

“(2) In this paragraph, “data protection obligations”, in relation to a credit reference agency, means—

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- (a) where the agency carries on business in the United Kingdom, obligations under the data protection legislation (as defined in section 3 of the Data Protection Act 2018);
- (b) where the agency carries on business in a EEA State other than the United Kingdom, obligations under—
  - (i) the GDPR (as defined in section 3(10) of the Data Protection Act 2018),
  - (ii) legislation made in exercise of powers conferred on member States under the GDPR (as so defined), and
  - (iii) legislation implementing the Law Enforcement Directive (as defined in section 3(12) of the Data Protection Act 2018).”

*Data Protection (Processing of Sensitive Personal Data) Order 2009 (S.I. 2009/1811)*

- 341 The Data Protection (Processing of Sensitive Personal Data) Order 2009 is revoked.

*Provision of Services Regulations 2009 (S.I. 2009/2999)*

- 342 In regulation 25 of the Provision of Services Regulations 2009 (derogations from the freedom to provide services), for paragraph (d) substitute—

“(d) matters covered by [Regulation \(EU\) 2016/679](#) of the European Parliament and of the Council of 27 April 2016 on the protection of natural persons with regard to the processing of personal data and on the free movement of such data (General Data Protection Regulation);”.

*INSPIRE Regulations 2009 (S.I. 2009/3157)*

- 343 (1) Regulation 9 of the INSPIRE Regulations 2009 (public access to spatial data sets and spatial data services) is amended as follows.

(2) In paragraph (2)—

- (a) omit “or” at the end of sub-paragraph (a),
- (b) for sub-paragraph (b) substitute—
  - “(b) Article 21 of the GDPR (general processing: right to object to processing), or
  - (c) section 99 of the Data Protection Act 2018 (intelligence services processing: right to object to processing).”
- (c) omit the words following sub-paragraph (b).

(3) After paragraph (7) insert—

“(8) In this regulation—

“the data protection principles” means the principles set out in—

- (a) Article 5(1) of the GDPR,
- (b) section 34(1) of the Data Protection Act 2018, and
- (c) section 85(1) of that Act;

“the GDPR” has the same meaning as in Parts 5 to 7 of the Data Protection Act 2018 (see section 3(10), (11) and (14) of that Act);

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“personal data” has the same meaning as in Parts 5 to 7 of the Data Protection Act 2018 (see section 3(2) and (14) of that Act).

(9) In determining for the purposes of this regulation whether the lawfulness principle in Article 5(1)(a) of the GDPR would be contravened by the disclosure of information, Article 6(1) of the GDPR (lawfulness) is to be read as if the second sub-paragraph (disapplying the legitimate interests gateway in relation to public authorities) were omitted.”

*INSPIRE (Scotland) Regulations 2009 (S.S.I. 2009/440)*

344 (1) Regulation 10 of the INSPIRE (Scotland) Regulations 2009 (public access to spatial data sets and spatial data services) is amended as follows.

(2) In paragraph (2)—

(a) omit “or” at the end of sub-paragraph (a),

(b) for sub-paragraph (b) substitute—

“(b) Article 21 of the GDPR (general processing: right to object to processing), or

(c) section 99 of the Data Protection Act 2018 (intelligence services processing: right to object to processing).”, and

(c) omit the words following sub-paragraph (b).

(3) After paragraph (6) insert—

“(7) In this regulation—

“the data protection principles” means the principles set out in—

(a) Article 5(1) of the GDPR,

(b) section 34(1) of the Data Protection Act 2018, and

(c) section 85(1) of that Act;

“the GDPR” has the same meaning as in Parts 5 to 7 of the Data Protection Act 2018 (see section 3(10), (11) and (14) of that Act);

“personal data” has the same meaning as in Parts 5 to 7 of the Data Protection Act 2018 (see section 3(2) and (14) of that Act).

(8) In determining for the purposes of this regulation whether the lawfulness principle in Article 5(1)(a) of the GDPR would be contravened by the disclosure of information, Article 6(1) of the GDPR (lawfulness) is to be read as if the second sub-paragraph (disapplying the legitimate interests gateway in relation to public authorities) were omitted.”

*Controlled Drugs (Supervision of Management and Use) Regulations (Northern Ireland) 2009 (S.R (N.I.) 2009 No. 225)*

345 The Controlled Drugs (Supervision of Management and Use) Regulations (Northern Ireland) 2009 are amended as follows.

346 In regulation 2(2) (interpretation), at the appropriate place insert—

““the GDPR” and references to Schedule 2 to the Data Protection Act 2018 have the same meaning as in Parts 5 to 7 of that Act (see section 3(10), (11) and (14) of that Act);”.”



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- 347 (1) Regulation 25 (duty to co-operate by disclosing information as regards relevant persons) is amended as follows.
- (2) In paragraph (7), at the end insert “ or the GDPR ”.
- (3) For paragraph (8) substitute—
- “(8) In determining for the purposes of paragraph (7) whether disclosure is prohibited, it is to be assumed for the purposes of paragraph 5(2) of Schedule 2 to the Data Protection Act 2018 and paragraph 3(2) of Schedule 11 to that Act (exemptions from certain provisions of the data protection legislation: disclosures required by law) that the disclosure is required by this regulation.”
- 348 (1) Regulation 26 (responsible bodies requesting additional information be disclosed about relevant persons) is amended as follows.
- (2) In paragraph (6), at the end insert “ or the GDPR ”.
- (3) For paragraph (7) substitute—
- “(7) In determining for the purposes of paragraph (6) whether disclosure is prohibited, it is to be assumed for the purposes of paragraph 5(2) of Schedule 2 to the Data Protection Act 2018 and paragraph 3(2) of Schedule 11 to that Act (exemptions from certain provisions of the data protection legislation: disclosures required by law) that the disclosure is required by this regulation.”
- 349 (1) Regulation 29 (occurrence reports) is amended as follows.
- (2) In paragraph (3), at the end insert “ or the GDPR ”.
- (3) For paragraph (4) substitute—
- “(4) In determining for the purposes of paragraph (3) whether disclosure is prohibited, it is to be assumed for the purposes of paragraph 5(2) of Schedule 2 to the Data Protection Act 2018 and paragraph 3(2) of Schedule 11 to that Act (exemptions from certain provisions of the data protection legislation: disclosures required by law) that the disclosure is required by this regulation.”
- Data Protection (Monetary Penalties) (Maximum Penalty and Notices) Regulations 2010 (S.I. 2010/31)*
- 350 The Data Protection (Monetary Penalties) (Maximum Penalty and Notices) Regulations 2010 are revoked.
- Pharmacy Order 2010 (S.I. 2010/231)*
- 351 The Pharmacy Order 2010 is amended as follows.
- 352 In article 3(1) (interpretation), omit the definition of “Directive 95/46/EC”.
- 353 (1) Article 9 (inspection and enforcement) is amended as follows.
- (2) For paragraph (4) substitute—

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“(4) If a report that the Council proposes to publish pursuant to paragraph (3) includes personal data, it is to be assumed for the purposes of paragraph 5(2) of Schedule 2 to the Data Protection Act 2018 and paragraph 3(2) of Schedule 11 to that Act (exemptions from certain provisions of the data protection legislation: disclosures required by law) that the disclosure of the personal data is required by paragraph (3) of this article.”

(3) After paragraph (4) insert—

“(5) In this article, “personal data” and references to Schedule 2 to the Data Protection Act 2018 have the same meaning as in Parts 5 to 7 of that Act (see section 3(2) and (14) of that Act).”

354 In article 33A (European professional card), after paragraph (2) insert—

“(3) In Schedule 2A, “the GDPR” means [Regulation \(EU\) 2016/679](#) of the European Parliament and of the Council of 27 April 2016 on the protection of natural persons with regard to the processing of personal data and on the free movement of such data (General Data Protection Regulation), read with Chapter 2 of Part 2 of the Data Protection Act 2018.”

355 (1) Article 49 (disclosure of information: general) is amended as follows.

(2) In paragraph (2)(a), after “enactment” insert “ or the GDPR ”.

(3) For paragraph (3) substitute—

“(3) In determining for the purposes of paragraph (2)(a) whether a disclosure is prohibited, it is to be assumed for the purposes of paragraph 5(2) of Schedule 2 to the Data Protection Act 2018 and paragraph 3(2) of Schedule 11 to that Act (exemptions from certain provisions of the data protection legislation: disclosures required by law) that the disclosure is required by paragraph (1) of this article.”

(4) After paragraph (5) insert—

“(6) In this article, “the GDPR” and references to Schedule 2 to the Data Protection Act 2018 have the same meaning as in Parts 5 to 7 of that Act (see section 3(10), (11) and (14) of that Act).”

356 (1) Article 55 (professional performance assessments) is amended as follows.

(2) In paragraph (5)(a), after “enactment” insert “ or the GDPR ”.

(3) For paragraph (6) substitute—

“(6) In determining for the purposes of paragraph (5)(a) whether a disclosure is prohibited, it is to be assumed for the purposes of paragraph 5(2) of Schedule 2 to the Data Protection Act 2018 and paragraph 3(2) of Schedule 11 to that Act (exemptions from certain provisions of the data protection legislation: disclosures required by law) that the disclosure is required by paragraph (4) of this article.”

(4) After paragraph (8) insert—

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	<p>“(9) In this article, “the GDPR” and references to Schedule 2 to the Data Protection Act 2018 have the same meaning as in Parts 5 to 7 of that Act (see section 3(10), (11) and (14) of that Act).”</p>
357	<p>In article 67(6) (Directive <a href="#">2005/36/EC</a>: designation of competent authority etc.), after sub-paragraph (a) insert—</p> <p>“(aa) “the GDPR” means <a href="#">Regulation (EU) 2016/679</a> of the European Parliament and of the Council of 27 April 2016 on the protection of natural persons with regard to the processing of personal data and on the free movement of such data (General Data Protection Regulation), read with Chapter 2 of Part 2 of the Data Protection Act 2018;”.</p>
358	<p>(1) Schedule 2A (Directive <a href="#">2005/36/EC</a>: European professional card) is amended as follows.</p> <p>(2) In paragraph 8(1) (access to data), for “Directive <a href="#">95/46/EC</a>” substitute “ the GDPR ”.</p> <p>(3) In paragraph 9 (processing data)—</p> <p>(a) omit sub-paragraph (2) (deeming the Council to be the controller for the purposes of Directive <a href="#">95/46/EC</a>), and</p> <p>(b) after sub-paragraph (2) insert—</p> <p>“(3) In this paragraph, “personal data” has the same meaning as in the Data Protection Act 2018 (see section 3(2) of that Act).”</p>
359	<p>(1) The table in Schedule 3 (Directive <a href="#">2005/36/EC</a>: designation of competent authority etc.) is amended as follows.</p> <p>(2) In the entry for Article 56(2), in the second column, for “Directive <a href="#">95/46/EC</a>” substitute “ the GDPR ”.</p> <p>(3) In the entry for Article 56a(4), in the second column, for “Directive <a href="#">95/46/EC</a>” substitute “ the GDPR ”.</p>
	<p><i>Data Protection (Monetary Penalties) Order 2010 (S.I. 2010/910)</i></p>
360	<p>The Data Protection (Monetary Penalties) Order 2010 is revoked.</p>
	<p><i>National Employment Savings Trust Order 2010 (S.I. 2010/917)</i></p>
361	<p>The National Employment Savings Trust Order 2010 is amended as follows.</p>
362	<p>In article 2 (interpretation)—</p> <p>(a) omit the definition of “data” and “personal data”, and</p> <p>(b) at the appropriate place insert—</p> <p>““personal data” has the same meaning as in Parts 5 to 7 of the Data Protection Act 2018 (see section 3(2) and (14) of that Act).”</p>
363	<p>(1) Article 10 (disclosure of requested data to the Secretary of State) is amended as follows.</p> <p>(2) In paragraph (1)—</p>

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- (a) for “disclosure of data” substitute “ disclosure of information ”, and
- (b) for “requested data” substitute “ requested information ”.

(3) In paragraph (2)—

- (a) for “requested data” substitute “ requested information ”,
- (b) for “those data are” substitute “ the information is ”, and
- (c) for “receive those data” substitute “ receive that information ”.

(4) In paragraph (3), for “requested data” substitute “ requested information ”.

(5) In paragraph (4), for “requested data” substitute “ requested information ”.

*Local Elections (Northern Ireland) Order 2010 (S.I. 2010/2977)*

364 (1) Schedule 3 to the Local Elections (Northern Ireland) Order 2010 (access to marked registers and other documents open to public inspection after an election) is amended as follows.

(2) In paragraph 1(1) (interpretation and general)—

- (a) omit the definition of “research purposes”, and
- (b) at the appropriate places insert—

““Article 89 GDPR purposes” means the purposes mentioned in Article 89(1) of the GDPR (archiving in the public interest, scientific or historical research and statistics);”;

““the GDPR” means [Regulation \(EU\) 2016/679](#) of the European Parliament and of the Council of 27 April 2016 on the protection of natural persons with regard to the processing of personal data and on the free movement of such data (General Data Protection Regulation);”.

(3) In paragraph 5(3) (restrictions on the use, supply and disclosure of documents open to public inspection), for “research purposes” substitute “ Article 89 GDPR purposes ”.

*Pupil Information (Wales) Regulations 2011 (S.I. 2011/1942 (W.209))*

365 (1) Regulation 5 of the Pupil Information (Wales) Regulations 2011 (duties of head teacher - educational records) is amended as follows.

(2) In paragraph (5)—

- (a) in the English language text, for “documents which are subject to any order under section 30(2) of the Data Protection Act 1998” substitute “information—
  - (a) which the head teacher could not lawfully disclose to the pupil under the GDPR, or
  - (b) to which the pupil would have no right of access under the GDPR.”, and
- (b) in the Welsh language text, for “ddogfennau sy'n ddarostyngedig i unrhyw orchymyn o dan adran 30(2) o Ddeddf Diogelu Data 1998” substitute “wybodaeth—

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- (a) na allai'r pennaeth ei datgelu'n gyfreithlon i'r disgybl o dan y GDPR, neu
- (b) na fyddai gan y disgybl hawl mynediad ati o dan y GDPR.”

(3) After paragraph (5)—

(a) in the English language text insert—

“(6) In this regulation, “the GDPR” (“y *GDPR*”) means [Regulation \(EU\) 2016/679](#) of the European Parliament and of the Council of 27 April 2016 on the protection of natural persons with regard to the processing of personal data and on the free movement of such data (General Data Protection Regulation), read with Chapter 2 of Part 2 of the Data Protection Act 2018.”, and

(b) in the Welsh language text insert—

“(6) Yn y rheoliad hwn, ystyr “y GDPR” (“*the GDPR*”) yw Rheoliad (EU) 2016/679 Senedd Ewrop a'r Cyngor dyddiedig 27 Ebrill 2016 ar ddiogelu personau naturiol o ran prosesu data personol a rhyddid symud data o'r fath (y Rheoliad Diogelu Data Cyffredinol), fel y'i darllenir ynghyd â Phennod 2 o Ran 2 o Ddeddf Diogelu Data 2018.”

*Debt Arrangement Scheme (Scotland) Regulations 2011 (S.S.I. 2011/141)*

366 In Schedule 4 to the Debt Arrangement Scheme (Scotland) Regulations 2011 (payments distributors), omit paragraph 2.

*Police and Crime Commissioner Elections Order 2012 (S.I. 2012/1917)*

367 The Police and Crime Commissioner Elections Order 2012 is amended as follows.

368 (1) Schedule 2 (absent voting in Police and Crime Commissioner elections) is amended as follows.

(2) In paragraph 20 (absent voter lists: supply of copies etc)—

(a) in sub-paragraph (8), for paragraph (a) (but not the final “or”) substitute—

“(a) purposes mentioned in Article 89(1) of the GDPR (archiving in the public interest, scientific or historical research and statistics);”, and

(b) after sub-paragraph (10) insert—

“(11) In this paragraph, “the GDPR” means [Regulation \(EU\) 2016/679](#) of the European Parliament and of the Council of 27 April 2016 on the protection of natural persons with regard to the processing of personal data and on the free movement of such data (General Data Protection Regulation).”

(3) In paragraph 24 (restriction on use of absent voter records or lists or the information contained in them)—

(a) in sub-paragraph (3), for paragraph (a) (but not the final “or”) substitute—

“(a) purposes mentioned in Article 89(1) of the GDPR (archiving in the public interest, scientific or historical research and statistics);”, and

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(b) after that sub-paragraph insert—

“(4) In this paragraph, “the GDPR” means [Regulation \(EU\) 2016/679](#) of the European Parliament and of the Council of 27 April 2016 on the protection of natural persons with regard to the processing of personal data and on the free movement of such data (General Data Protection Regulation).”

369 (1) Schedule 10 (access to marked registers and other documents open to public inspection after an election) is amended as follows.

(2) In paragraph 1(2) (interpretation), omit paragraphs (c) and (d) (but not the final “and”).

(3) In paragraph 5 (restriction on use of documents or of information contained in them)

(a) in sub-paragraph (3), for paragraph (a) (but not the final “or”) substitute—

“(a) purposes mentioned in Article 89(1) of the GDPR (archiving in the public interest, scientific or historical research and statistics),”, and

(b) after sub-paragraph (4) insert—

“(5) In this paragraph, “the GDPR” means [Regulation \(EU\) 2016/679](#) of the European Parliament and of the Council of 27 April 2016 on the protection of natural persons with regard to the processing of personal data and on the free movement of such data (General Data Protection Regulation).”

*Data Protection (Processing of Sensitive Personal Data) Order 2012 (S.I. 2012/1978)*

370 The Data Protection (Processing of Sensitive Personal Data) Order 2012 is revoked.

*Neighbourhood Planning (Referendums) Regulations 2012 (S.I. 2012/2031)*

371 Schedule 6 to the Neighbourhood Planning (Referendums) Regulations 2012 (registering to vote in a business referendum) is amended as follows.

372 (1) Paragraph 29(1) (interpretation of Part 8) is amended as follows.

(2) At the appropriate places insert—

““Article 89 GDPR purposes” means the purposes mentioned in Article 89(1) of the GDPR (archiving in the public interest, scientific or historical research and statistics);”;

““the GDPR” means [Regulation \(EU\) 2016/679](#) of the European Parliament and of the Council of 27 April 2016 on the protection of natural persons with regard to the processing of personal data and on the free movement of such data (General Data Protection Regulation);”.

(3) For the definition of “relevant conditions” substitute—

““relevant requirement” means the requirement under Article 89 of the GDPR, read with section 19 of the Data Protection Act 2018, that

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personal data processed for Article 89 GDPR purposes must be subject to appropriate safeguards.”

(4) Omit the definition of “research purposes”.

373 In paragraph 32(3)(b)(i), for “section 11(3) of the Data Protection Act 1998” substitute “ section 122(5) of the Data Protection Act 2018 ”.

374 In paragraph 33(6) and (7) (supply of copy of business voting register to the British Library and restrictions on use), for “research purposes in compliance with the relevant conditions” substitute “ Article 89 GDPR purposes in accordance with the relevant requirement ”.

375 In paragraph 34(6) and (7) (supply of copy of business voting register to the Office of National Statistics and restrictions on use), for “research purposes in compliance with the relevant conditions” substitute “ Article 89 GDPR purposes in accordance with the relevant requirement ”.

376 In paragraph 39(8) and (97) (supply of copy of business voting register to public libraries and local authority archives services and restrictions on use), for “research purposes in compliance with the relevant conditions” substitute “ Article 89 GDPR purposes in accordance with the relevant requirement ”.

377 In paragraph 45(2) (conditions on the use, supply and disclosure of documents open to public inspection), for paragraph (a) (but not the final “or”) substitute—  
“(a) Article 89 GDPR purposes (as defined in paragraph 29),”.

*Controlled Drugs (Supervision of Management and Use) Regulations 2013 (S.I. 2013/373)*

378 (1) Regulation 20 of the Controlled Drugs (Supervision of Management and Use) Regulations 2013 (information management) is amended as follows.

(2) For paragraph (4) substitute—

“(4) Where a CDAO, a responsible body or someone acting on their behalf is permitted to share information which includes personal data by virtue of a function under these Regulations, it is to be assumed for the purposes of paragraph 5(2) of Schedule 2 to the Data Protection Act 2018 and paragraph 3(2) of Schedule 11 to that Act (exemptions from certain provisions of the data protection legislation: disclosures required by law) that the disclosure is required by this regulation.”

(3) In paragraph (5), after “enactment” insert “ or the GDPR ”.

(4) After paragraph (6) insert—

“(7) In this regulation, “the GDPR”, “personal data” and references to Schedule 2 to the Data Protection Act 2018 have the same meaning as in Parts 5 to 7 of that Act (see section 3(2), (10), (11) and (14) of that Act).”

*Communications Act 2003 (Disclosure of Information) Order 2014 (S.I. 2014/1825)*

379 (1) Article 3 of the Communications Act 2003 (Disclosure of Information) Order 2014 (specification of relevant functions) is amended as follows.

(2) The existing text becomes paragraph (1).

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	(3) In that paragraph, in sub-paragraph (a), for “the Data Protection Act 1998” substitute “ the data protection legislation ”.
	(4) After that paragraph insert— <p>“(2) In this article, “the data protection legislation” has the same meaning as in the Data Protection Act 2018 (see section 3 of that Act).”</p>
	<i>Criminal Justice and Data Protection (Protocol No. 36) Regulations 2014 (S.I. 2014/3141)</i>
380	In the Criminal Justice and Data Protection (Protocol No. 36) Regulations 2014, omit Part 4 (data protection in relation to police and judicial co-operation in criminal matters).
	<i>Data Protection (Assessment Notices) (Designation of National Health Service Bodies) Order 2014 (S.I. 2014/3282)</i>
381	The Data Protection (Assessment Notices) (Designation of National Health Service Bodies) Order 2014 is revoked.
	<i>The Control of Explosives Precursors etc Regulations (Northern Ireland) 2014 (S.R. (N.I.) 2014 No. 224)</i>
382	In regulation 6 of the Control of Explosives Precursors etc Regulations (Northern Ireland) 2014 (applications)— <p>(a) in paragraph (9), omit sub-paragraph (b) and the word “and” before it, and  (b) in paragraph (11), omit the definition of “processing” and “sensitive personal data” and the word “and” before it.</p>
	<i>Control of Poisons and Explosives Precursors Regulations 2015 (S.I. 2015/966)</i>
383	In regulation 3 of the Control of Poisons and Explosives Precursors Regulations 2015 (applications in relation to licences under section 4A of the Poisons Act 1972)— <p>(a) in paragraph (7), omit sub-paragraph (b) and the word “and” before it, and  (b) omit paragraph (8).</p>
	<i>Companies (Disclosure of Date of Birth Information) Regulations 2015 (S.I. 2015/1694)</i>
384	(1) Paragraph 6 of Schedule 2 to the Companies (Disclosure of Date of Birth Information) Regulations 2015 (conditions for permitted disclosure to a credit reference agency) is amended as follows. <p>(2) The existing text becomes sub-paragraph (1).  (3) In paragraph (b) of that sub-paragraph, for sub-paragraph (ii) substitute—  “(ii) for the purposes of ensuring that it complies with its data protection obligations;”  (4) In paragraph (c) of that sub-paragraph—  (a) omit “or” at the end of sub-paragraph (i), and</p>



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- (b) at the end insert “; or  
(iii) section 144 of the Data Protection Act 2018 (false statements made in response to an information notice) or section 148 of that Act (destroying or falsifying information and documents etc);”.

(5) After paragraph (c) of that sub-paragraph insert—

“(d) has not been given a penalty notice under section 155 of the Data Protection Act 2018 in circumstances described in paragraph (c) (ii), other than a penalty notice that has been cancelled.”

(6) After sub-paragraph (1) insert—

“(2) In this paragraph, “data protection obligations”, in relation to a credit reference agency, means—

- (a) where the agency carries on business in the United Kingdom, obligations under the data protection legislation (as defined in section 3 of the Data Protection Act 2018);  
(b) where the agency carries on business in a EEA State other than the United Kingdom, obligations under—  
(i) the GDPR (as defined in section 3(10) of the Data Protection Act 2018),  
(ii) legislation made in exercise of powers conferred on member States under the GDPR (as so defined), and  
(iii) legislation implementing the Law Enforcement Directive (as defined in section 3(12) of the Data Protection Act 2018).”

*Small and Medium Sized Business (Credit Information) Regulations 2015 (S.I. 2015/1945)*

385 The Small and Medium Sized Business (Credit Information) Regulations 2015 are amended as follows.

386 (1) Regulation 12 (criteria for the designation of a credit reference agency) is amended as follows.

(2) In paragraph (1)(b), for “the Data Protection Act 1998” substitute “ the data protection legislation ”.

(3) After paragraph (2) insert—

“(3) In this regulation, “the data protection legislation” has the same meaning as in the Data Protection Act 2018 (see section 3 of that Act).”

387 (1) Regulation 15 (access to and correction of information for individuals and small firms) is amended as follows.

(2) For paragraph (1) substitute—

“(1) Section 13 of the Data Protection Act 2018 (rights of the data subject under the GDPR: obligations of credit reference agencies) applies in respect of a designated credit reference agency which is not a credit reference agency within the meaning of section 145(8) of the Consumer Credit Act 1974 as if it were such an agency.”

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(3) After paragraph (3) insert—

“(4) In this regulation, the reference to section 13 of the Data Protection Act 2018 has the same meaning as in Parts 5 to 7 of that Act (see section 3(14) of that Act).”

*European Union (Recognition of Professional Qualifications) Regulations 2015 (S.I. 2015/2059)*

388 The European Union (Recognition of Professional Qualifications) Regulations 2015 are amended as follows.

389 (1) Regulation 2(1) (interpretation) is amended as follows.

(2) Omit the definition of “Directive [95/46/EC](#)”.

(3) At the appropriate place insert—

““the GDPR” means [Regulation \(EU\) 2016/679](#) of the European Parliament and of the Council of 27 April 2016 on the protection of natural persons with regard to the processing of personal data and on the free movement of such data (General Data Protection Regulation), read with Chapter 2 of Part 2 of the Data Protection Act 2018;”.

390 In regulation 5(5) (functions of competent authorities in the United Kingdom) for “Directives [95/46/EC](#)” substitute “the GDPR and Directive ”.

391 In regulation 45(3) (processing and access to data regarding the European Professional Card), for “Directive [95/46/EC](#)” substitute “the GDPR ”.

392 In regulation 46(1) (processing and access to data regarding the European Professional Card), for “Directive [95/46/EC](#)” substitute “the GDPR ”.

393 In regulation 48(2) (processing and access to data regarding the European Professional Card), omit paragraph (2) (deeming the relevant designated competent authorities to be controllers for the purposes of Directive [95/46/EC](#)).

394 In regulation 66(3) (exchange of information), for “Directives [95/46/EC](#)” substitute “the GDPR and Directive ”.

*Scottish Parliament (Elections etc) Order 2015 (S.S.I. 2015/425)*

395 The Scottish Parliament (Elections etc) Order 2015 is amended as follows.

396 (1) Schedule 3 (absent voting) is amended as follows.

(2) In paragraph 16 (absent voting lists: supply of copies etc)—

(a) in sub-paragraph (4), for paragraph (a) (but not the final “or”) substitute—

“(a) purposes mentioned in Article 89(1) of the GDPR (archiving in the public interest, scientific or historical research and statistics);”, and

(b) after sub-paragraph (10) insert—

“(11) In this paragraph, “the GDPR” means [Regulation \(EU\) 2016/679](#) of the European Parliament and of the Council of 27 April 2016 on the protection of natural persons with regard to the processing

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of personal data and on the free movement of such data (General Data Protection Regulation).”

(3) In paragraph 20 (restriction on use of absent voting lists)—

(a) in sub-paragraph (3), for paragraph (a) (but not the final “or”) substitute—

“(a) purposes mentioned in Article 89(1) of the GDPR (archiving in the public interest, scientific or historical research and statistics);”, and

(b) after that sub-paragraph insert—

“(4) In this paragraph, “the GDPR” means [Regulation \(EU\) 2016/679](#) of the European Parliament and of the Council of 27 April 2016 on the protection of natural persons with regard to the processing of personal data and on the free movement of such data (General Data Protection Regulation).”

397 (1) Schedule 8 (access to marked registers and other documents open to public inspection after an election) is amended as follows.

(2) In paragraph 1(2) (interpretation), omit paragraphs (c) and (d) (but not the final “and”).

(3) In paragraph 5 (restriction on use of documents or of information contained in them)

(a) in sub-paragraph (3), for paragraph (a) (but not the final “or”) substitute—

“(a) purposes mentioned in Article 89(1) of the GDPR (archiving in the public interest, scientific or historical research and statistics);”, and

(b) after sub-paragraph (4) insert—

“(5) In this paragraph, “the GDPR” means [Regulation \(EU\) 2016/679](#) of the European Parliament and of the Council of 27 April 2016 on the protection of natural persons with regard to the processing of personal data and on the free movement of such data (General Data Protection Regulation).”

*Recall of MPs Act 2015 (Recall Petition) Regulations 2016 (S.I. 2016/295)*

398 In paragraph 1(3) of Schedule 3 to the Recall of MPs Act 2015 (Recall Petition) Regulations 2016 (access to marked registers after a petition), omit the definition of “relevant conditions”.

*Register of People with Significant Control Regulations 2016 (S.I. 2016/339)*

399 Schedule 4 to the Register of People with Significant Control Regulations 2016 (conditions for permitted disclosure) is amended as follows.

400 (1) Paragraph 6 (disclosure to a credit reference agency) is amended as follows.

(2) In sub-paragraph (b), for paragraph (ii) (together with the final “; and”) substitute—

“(ii) for the purposes of ensuring that it complies with its data protection obligations;”.

(3) In sub-paragraph (c)—

(a) omit “or” at the end of paragraph (ii), and

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	(b) at the end insert—
	“(iv) section 144 of the Data Protection Act 2018 (false statements made in response to an information notice); or
	(v) section 148 of that Act (destroying or falsifying information and documents etc);”
	(4) After sub-paragraph (c) insert—
	“(d) has not been given a penalty notice under section 155 of the Data Protection Act 2018 in circumstances described in sub-paragraph (c)(iii), other than a penalty notice that has been cancelled.”
401	In paragraph 12A (disclosure to a credit institution or a financial institution), for sub-paragraph (b) substitute—
	“(b) for the purposes of ensuring that it complies with its data protection obligations.”
402	In Part 3 (interpretation), after paragraph 13 insert—
	“14 In this Schedule, “data protection obligations”, in relation to a credit reference agency, a credit institution or a financial institution, means—
	(a) where the agency or institution carries on business in the United Kingdom, obligations under the data protection legislation (as defined in section 3 of the Data Protection Act 2018);
	(b) where the agency or institution carries on business in a EEA State other than the United Kingdom, obligations under—
	(i) the GDPR (as defined in section 3(10) of the Data Protection Act 2018),
	(ii) legislation made in exercise of powers conferred on member States under the GDPR (as so defined), and
	(iii) legislation implementing the Law Enforcement Directive (as defined in section 3(12) of the Data Protection Act 2018).”
	<i>Electronic Identification and Trust Services for Electronic Transactions Regulations 2016 (S.I. 2016/696)</i>
403	The Electronic Identification and Trust Services for Electronic Transactions Regulations 2016 are amended as follows.
404	In regulation 2(1) (interpretation), omit the definition of “the 1998 Act”.
405	In regulation 3(3) (supervision), omit “under the 1998 Act”.
406	For Schedule 2 substitute—

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## “SCHEDULE

### 2

#### INFORMATION COMMISSIONER'S ENFORCEMENT POWERS

##### *Provisions applied for enforcement purposes*

- 1 For the purposes of enforcing these Regulations and the eIDAS Regulation, the following provisions of Parts 5 to 7 of the Data Protection Act 2018 apply with the modifications set out in paragraphs 2 to 26—
- (a) section 140 (publication by the Commissioner);
  - (b) section 141 (notices from the Commissioner);
  - (c) section 142 (information notices);
  - (d) section 143 (information notices: restrictions);
  - (e) section 144 (false statements made in response to an information notice);
  - (f) section 145 (information orders);
  - (g) section 146 (assessment notices);
  - (h) section 147 (assessment notices: restrictions);
  - (i) section 148 (destroying or falsifying information and documents etc);
  - (j) section 149 (enforcement notices);
  - (k) section 150 (enforcement notices: supplementary);
  - (l) section 152 (enforcement notices: restrictions);
  - (m) section 153 (enforcement notices: cancellation and variation);
  - (n) section 154 and Schedule 15 (powers of entry and inspection);
  - (o) section 155 and Schedule 16 (penalty notices);
  - (p) section 156(4)(a) (penalty notices: restrictions);
  - (q) section 157 (maximum amount of penalty);
  - (r) section 159 (amount of penalties: supplementary);
  - (s) section 160 (guidance about regulatory action);
  - (t) section 161 (approval of first guidance about regulatory action);
  - (u) section 162 (rights of appeal);
  - (v) section 163 (determination of appeals);
  - (w) section 164 (applications in respect of urgent notices);
  - (x) section 180 (jurisdiction);
  - (y) section 182(1), (2), (5), (7) and (13) (regulations and consultation);
  - (z) section 196 (penalties for offences);
  - (z1) section 197 (prosecution);
  - (z2) section 202 (proceedings in the First-tier Tribunal: contempt);
  - (z3) section 203 (Tribunal Procedure Rules).

##### *General modification of references to the Data Protection Act 2018*

- 2 The provisions listed in paragraph 1 have effect as if—

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- (a) references to the Data Protection Act 2018 were references to the provisions of that Act as applied by these Regulations;
- (b) references to a particular provision of that Act were references to that provision as applied by these Regulations.

*Modification of section 142 (information notices)*

- 3 (1) Section 142 has effect as if subsections (9) and (10) were omitted.
- (2) In that section, subsection (1) has effect as if—
  - (a) in paragraph (a)—
    - (i) for “controller or processor” there were substituted “ trust service provider ”;
    - (ii) for “the data protection legislation” there were substituted “ the eIDAS Regulation and the EITSET Regulations ”;
  - (b) paragraph (b) were omitted.
- (3) In that section, subsection (2) has effect as if paragraph (a) were omitted.

*Modification of section 143 (information notices: restrictions)*

- 4 (1) Section 143 has effect as if subsections (1) and (9) were omitted.
- (2) In that section—
  - (a) subsections (3)(b) and (4)(b) have effect as if for “the data protection legislation” there were substituted “ the eIDAS Regulation or the EITSET Regulations ”;
  - (b) subsection (7)(a) has effect as if for “this Act” there were substituted “ section 144 or 148 or paragraph 15 of Schedule 15 ”;
  - (c) subsection (8) has effect as if for “this Act (other than an offence under section 144)” there were substituted “ section 148 or paragraph 15 of Schedule 15 ”.

*Modification of section 145 (information orders)*

- 5 Section 145(2)(b) has effect as if for “section 142(2)(b)” there were substituted “ section 142(2) ”.

*Modification of section 146 (assessment notices)*

- 6 (1) Section 146 has effect as if subsection (11) were omitted.
- (2) In that section—
  - (a) subsection (1) has effect as if—
    - (i) for “controller or processor” (in both places) there were substituted “ trust service provider ”;
    - (ii) for “the data protection legislation” there were substituted “ the eIDAS requirements ”;
  - (b) subsection (2) has effect as if paragraphs (h) and (i) were omitted;

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(c) subsections (7), (8), (9) and (10) have effect as if for “controller or processor” (in each place) there were substituted “trust service provider.

(d) subsection (9)(a) has effect as if for “as described in section 149(2) or that an offence under this Act” there were substituted “ to comply with the eIDAS requirements or that an offence under section 144 or 148 or paragraph 15 of Schedule 15 ”.

*Modification of section 147 (assessment notices: restrictions)*

7 (1) Section 147 has effect as if subsections (5) and (6) were omitted.

(2) In that section, subsections (2)(b) and (3)(b) have effect as if for “the data protection legislation” there were substituted “ the eIDAS Regulation or the EITSET Regulations ”.

*Modification of section 149 (enforcement notices)*

8 (1) Section 149 has effect as if subsections (2) to (5) and (7) to (9) were omitted.

(2) In that section—

(a) subsection (1) has effect as if—

(i) for “as described in subsection (2), (3), (4) or (5)” there were substituted “ to comply with the eIDAS requirements ”;

(ii) for “sections 150 and 151” there were substituted “ section 150 ”;

(b) subsection (6) has effect as if the words “given in reliance on subsection (2), (3) or (5)” were omitted.

*Modification of section 150 (enforcement notices: supplementary)*

9 (1) Section 150 has effect as if subsection (3) were omitted.

(2) In that section, subsection (2) has effect as if the words “in reliance on section 149(2)” and “or distress” were omitted.

*Modification of section 152 (enforcement notices: restrictions)*

10 Section 152 has effect as if subsections (1), (2) and (4) were omitted.

*Withdrawal notices*

11 The provisions listed in paragraph 1 have effect as if after section 153 there were inserted—

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### *“Withdrawal notices*

#### **153A Withdrawal notices**

- (1) The Commissioner may, by written notice (a “withdrawal notice”), withdraw the qualified status from a trust service provider, or the qualified status of a service provided by a trust service provider, if—
  - (a) the Commissioner is satisfied that the trust service provider has failed to comply with an information notice or an enforcement notice, and
  - (b) the condition in subsection (2) or (3) is met.
- (2) The condition in this subsection is met if the period for the trust service provider to appeal against the information notice or enforcement notice has ended without an appeal having been brought.
- (3) The condition in this subsection is met if an appeal against the information notice or enforcement notice has been brought and—
  - (a) the appeal and any further appeal in relation to the notice has been decided or has otherwise ended, and
  - (b) the time for appealing against the result of the appeal or further appeal has ended without another appeal having been brought.
- (4) A withdrawal notice must—
  - (a) state when the withdrawal takes effect, and
  - (b) provide information about the rights of appeal under section 162.”

#### *Modification of Schedule 15 (powers of entry and inspection)*

- 12 (1) Schedule 15 has effect as if paragraph 3 were omitted.
- (2) Paragraph 1(1) of that Schedule (issue of warrants in connection with non-compliance and offences) has effect as if for paragraph (a) (but not the final “and”) there were substituted—
 

“(a) there are reasonable grounds for suspecting that—

  - (i) a trust service provider has failed or is failing to comply with the eIDAS requirements, or
  - (ii) an offence under section 144 or 148 or paragraph 15 of Schedule 15 has been or is being committed.”.
- (3) Paragraph 2 of that Schedule (issue of warrants in connection with assessment notices) has effect as if—
  - (a) in sub-paragraphs (1) and (2), for “controller or processor” there were substituted “trust service provider”;
  - (b) in sub-paragraph (2), for “the data protection legislation” there were substituted “the eIDAS requirements”.



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- (4) Paragraph 5 of that Schedule (content of warrants) has effect as if—
- (a) in sub-paragraph (1)(c), for “the processing of personal data” there were substituted “ the provision of trust services ”;
  - (b) in sub-paragraph (2)(d)—
    - (i) for “controller or processor” there were substituted “ trust service provider ”;
    - (ii) for “as described in section 149(2)” there were substituted “ to comply with the eIDAS requirements ”;
  - (c) in sub-paragraph (3)(a) and (d)—
    - (i) for “controller or processor” there were substituted “ trust service provider ”;
    - (ii) for “the data protection legislation” there were substituted “ the eIDAS requirements ”.
- (5) Paragraph 11 of that Schedule (privileged communications) has effect as if, in sub-paragraphs (1)(b) and (2)(b), for “the data protection legislation” there were substituted “ the eIDAS Regulation or the EITSET Regulations ”.

*Modification of section 155 (penalty notices)*

- 13 (1) Section 155 has effect as if subsections (1)(a), (2)(a), (3)(g), (4) and (6) to (8) were omitted.
- (2) Subsection (2) of that section has effect as if—
- (a) the words “Subject to subsection (4),” were omitted;
  - (b) in paragraph (b), the words “to the extent that the notice concerns another matter,” were omitted.
- (3) Subsection (3) of that section has effect as if—
- (a) for “controller or processor”, in each place, there were substituted “ trust services provider ”;
  - (b) in paragraph (c), the words “or distress” were omitted;
  - (c) in paragraph (c), for “data subjects” there were substituted “ relying parties ”;
  - (d) in paragraph (d), for “section 57, 66, 103 or 107” there were substituted “ Article 19(1) of the eIDAS Regulation ”.

*Modification of Schedule 16 (penalties)*

- 14 Schedule 16 has effect as if paragraphs 3(2)(b) and 5(2)(b) were omitted.

*Modification of section 157 (maximum amount of penalty)*

- 15 Section 157 has effect as if subsections (1) to (3) and (6) were omitted.

*Modification of section 159 (amount of penalties: supplementary)*

- 16 Section 159 has effect as if—
- (a) in subsection (1), the words “Article 83 of the GDPR and” were omitted;

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- (b) in subsection (2), the words “Article 83 of the GDPR” and “and section 158” were omitted.

*Modification of section 160 (guidance about regulatory action)*

- 17 (1) Section 160 has effect as if subsections (5) and (12) were omitted.
- (2) In that section, subsection (4)(f) has effect as if for “controllers and processors” there were substituted “trust service providers”.

*Modification of section 162 (rights of appeal)*

- 18 (1) Section 162 has effect as if subsection (4) were omitted.
- (2) In that section, subsection (1) has effect as if, after paragraph (c), there were inserted—
- “(ca) a withdrawal notice;”.

*Modification of section 163 (determination of appeals)*

- 19 Section 163 has effect as if subsection (6) were omitted.

*Modification of section 180 (jurisdiction)*

- 20 (1) Section 180 has effect as if subsections (2)(d) and (e) and (3) were omitted.
- (2) Subsection (1) of that section has effect as if for “subsections (3) and (4)” there were substituted “subsection (4)”.

*Modification of section 182 (regulations and consultation)*

- 21 Section 182 has effect as if subsections (3), (4), (6), (8) to (11) and (14) were omitted.

*Modification of section 196 (penalties for offences)*

- 22 (1) Section 196 has effect as if subsections (3) to (5) were omitted.
- (2) In that section—
- (a) subsection (1) has effect as if the words “section 119 or 173 or” were omitted;
- (b) subsection (2) has effect as if for “section 132, 144, 148, 170, 171 or 184” there were substituted “section 144 or 148”.

*Modification of section 197 (prosecution)*

- 23 Section 197 has effect as if subsections (3) to (6) were omitted.

*Modification of section 202 (proceedings in the First-tier Tribunal: contempt)*

- 24 Section 202 has effect as if in subsection (1)(a), for sub-paragraphs (i) and (ii) there were substituted “on an appeal under section 162”.

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#### *Modification of section 203 (Tribunal Procedure Rules)*

- 25 Section 203 has effect as if—
- (a) in subsection (1), for paragraphs (a) and (b) there were substituted “the exercise of the rights of appeal conferred by section 162”;
  - (b) in subsection (2)(a) and (b), for “the processing of personal data” there were substituted “the provision of trust services”.

#### *Approval of first guidance about regulatory action*

- 26 (1) This paragraph applies if the first guidance produced under section 160(1) of the Data Protection Act 2018 and the first guidance produced under that provision as applied by this Schedule are laid before Parliament as a single document (“the combined guidance”).
- (2) Section 161 of that Act (including that section as applied by this Schedule) has effect as if the references to “the guidance” were references to the combined guidance, except in subsections (2)(b) and (4).
- (3) Nothing in subsection (2)(a) of that section (including as applied by this Schedule) prevents another version of the combined guidance being laid before Parliament.
- (4) Any duty under subsection (2)(b) of that section (including as applied by this Schedule) may be satisfied by producing another version of the combined guidance.

#### *Interpretation*

- 27 In this Schedule—
- “the eIDAS requirements” means the requirements of Chapter III of the eIDAS Regulation;
- “the EITSET Regulations” means these Regulations;
- “withdrawal notice” has the meaning given in section 153A of the Data Protection Act 2018 (as inserted in that Act by this Schedule).”

#### *Court Files Privileged Access Rules (Northern Ireland) 2016 (S.R. (N.I.) 2016 No. 123)*

- 407 The Court Files Privileged Access Rules (Northern Ireland) 2016 are amended as follows.
- 408 In rule 5 (information that may released) for “Schedule 1 of the Data Protection Act 1998” substitute “—
- (a) Article 5(1) of the GDPR, and
  - (b) section 34(1) of the Data Protection Act 2018.”
- 409 In rule 7(2) (provision of information) for “Schedule 1 of the Data Protection Act 1998” substitute “—
- (a) Article 5(1) of the GDPR, and
  - (b) section 34(1) of the Data Protection Act 2018.”

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*Money Laundering, Terrorist Financing and Transfer of Funds  
 (Information on the Payer) Regulations 2017 (S.I. 2017/692)*

- 410 The Money Laundering, Terrorist Financing and Transfer of Funds (Information on the Payer) Regulations 2017 are amended as follows.
- 411 In regulation 3(1) (interpretation), at the appropriate places insert—
- ““the data protection legislation” has the same meaning as in the Data Protection Act 2018 (see section 3 of that Act);”;
- ““the GDPR” and references to provisions of Chapter 2 of Part 2 of the Data Protection Act 2018 have the same meaning as in Parts 5 to 7 of that Act (see section 3(10), (11) and (14) of that Act);”.
- 412 In regulation 16(8) (risk assessment by the Treasury and Home Office), for “the Data Protection Act 1998 or any other enactment” substitute “—
- (a) the Data Protection Act 2018 or any other enactment, or
- (b) the GDPR.”
- 413 In regulation 17(9) (risk assessment by supervisory authorities), for “the Data Protection Act 1998 or any other enactment” substitute “—
- (a) the Data Protection Act 2018 or any other enactment, or
- (b) the GDPR.”
- 414 For regulation 40(9)(c) (record keeping) substitute—
- “(c) “data subject” has the same meaning as in the Data Protection Act 2018 (see section 3 of that Act);
- (d) “personal data” has the same meaning as in Parts 5 to 7 of that Act (see section 3(2) and (14) of that Act).”
- 415 (1) Regulation 41 (data protection) is amended as follows.
- (2) Omit paragraph (2).
- (3) In paragraph (3)(a), after “Regulations” insert “ or the GDPR ”.
- (4) Omit paragraphs (4) and (5).
- (5) After those paragraphs insert—
- “(6) Before establishing a business relationship or entering into an occasional transaction with a new customer, as well as providing the customer with the information required under Article 13 of the GDPR (information to be provided where personal data are collected from the data subject), relevant persons must provide the customer with a statement that any personal data received from the customer will be processed only—
- (a) for the purposes of preventing money laundering or terrorist financing, or
- (b) as permitted under paragraph (3).
- (7) In Article 6(1) of the GDPR (lawfulness of processing), the reference in point (e) to processing of personal data that is necessary for the performance of a task carried out in the public interest includes processing of personal data in accordance with these Regulations that is necessary for the prevention of money laundering or terrorist financing.

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- (8) In the case of sensitive processing of personal data for the purposes of the prevention of money laundering or terrorist financing, section 10 of, and Schedule 1 to, the Data Protection Act 2018 make provision about when the processing meets a requirement in Article 9(2) or 10 of the GDPR for authorisation under the law of the United Kingdom (see, for example, paragraphs 10, 11 and 12 of that Schedule).
- (9) In this regulation—
- “data subject” has the same meaning as in the Data Protection Act 2018 (see section 3 of that Act);
- “personal data” and “processing” have the same meaning as in Parts 5 to 7 of that Act (see section 3(2), (4) and (14) of that Act);
- “sensitive processing” means the processing of personal data described in Article 9(1) or 10 of the GDPR (special categories of personal data and personal data relating to criminal convictions and offences etc).”
- 416 (1) Regulation 84 (publication: the Financial Conduct Authority) is amended as follows.
- (2) In paragraph (10), for “the Data Protection Act 1998” substitute “the data protection legislation”.
- (3) For paragraph (11) substitute—
- “(11) For the purposes of this regulation, “personal data” has the same meaning as in Parts 5 to 7 of the Data Protection Act 2018 (see section 3(2) and (14) of that Act).”
- 417 (1) Regulation 85 (publication: the Commissioners) is amended as follows.
- (2) In paragraph (9), for “the Data Protection Act 1998” substitute “the data protection legislation”.
- (3) For paragraph (10) substitute—
- “(10) For the purposes of this regulation, “personal data” has the same meaning as in Parts 5 to 7 of the Data Protection Act 2018 (see section 3(2) and (14) of that Act).”
- 418 For regulation 106(a) (general restrictions) substitute—
- “(a) a disclosure in contravention of the data protection legislation; or”.
- 419 After paragraph 27 of Schedule 3 (relevant offences) insert—
- “27A An offence under the Data Protection Act 2018, apart from an offence under section 173 of that Act.”
- Scottish Partnerships (Register of People with Significant Control) Regulations 2017 (S.I. 2017/694)*
- 420 (1) Paragraph 6 of Schedule 5 to the Scottish Partnerships (Register of People with Significant Control) Regulations 2017 (conditions for permitted disclosure to a credit institution or a financial institution) is amended as follows.
- (2) The existing text becomes sub-paragraph (1).

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(3) For paragraph (b) of that sub-paragraph substitute—  
“(b) for the purposes of ensuring that it complies with its data protection obligations.”

(4) After sub-paragraph (1) insert—

“(2) In this paragraph, “data protection obligations”, in relation to a relevant institution, means—

- (a) where the institution carries on business in the United Kingdom, obligations under the data protection legislation (as defined in section 3 of the Data Protection Act 2018);
- (b) where the institution carries on business in a EEA State other than the United Kingdom, obligations under—
  - (i) the GDPR (as defined in section 3(10) of the Data Protection Act 2018),
  - (ii) legislation made in exercise of powers conferred on member States under the GDPR (as so defined), and
  - (iii) legislation implementing the Law Enforcement Directive (as defined in section 3(12) of the Data Protection Act 2018).”

*Data Protection (Charges and Information) Regulations 2018 (S.I. 2018/480)*

421 In regulation 1(2) of the Data Protection (Charges and Information) Regulations 2018 (interpretation), at the appropriate places insert—

““data controller” means a person who is a controller for the purposes of Parts 5 to 7 of the Data Protection Act 2018 (see section 3(6) and (14) of that Act);”;

““personal data” has the same meaning as in Parts 5 to 7 of the Data Protection Act 2018 (see section 3(2) and (14) of that Act);”.

*National Health Service (General Medical Services Contracts) (Scotland) Regulations 2018 (S.S.I. 2018/66)*

422 The National Health Service (General Medical Services Contracts) (Scotland) Regulations 2018 are amended as follows.

423 (1) Regulation 1 (citation and commencement) is amended as follows.

(2) In paragraph (2), omit “Subject to paragraph (3),”.

(3) Omit paragraph (3).

424 In regulation 3(1) (interpretation)—

- (a) omit the definition of “the 1998 Act”,
- (b) at the appropriate place insert—

““the data protection legislation” has the same meaning as in the Data Protection Act 2018 (see section 3 of that Act);”, and

- (c) omit the definition of “GDPR”.

425 (1) Schedule 6 (other contractual terms) is amended as follows.

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- (2) In paragraph 63(2) (interpretation: general), for “the 1998 Act or any directly applicable EU instrument relating to data protection” substitute “—
- (a) the data protection legislation, or
  - (b) any directly applicable EU legislation which is not part of the data protection legislation but which relates to data protection.”

- (3) For paragraph 64 (meaning of data controller etc.) substitute—

*“Meaning of controller etc.*

- 64A For the purposes of this Part—

“controller” has the same meaning as in Parts 5 to 7 of the Data Protection Act 2018 (see section 3(6) and (14) of that Act);

“data protection officer” means a person designated as a data protection officer under the data protection legislation;

“personal data” and “processing” have the same meaning as in Parts 5 to 7 of the Data Protection Act 2018 (see section 3(2), (4) and (14) of that Act).”

- (4) In paragraph 65(2)(b) (roles, responsibilities and obligations: general), for “data controllers” substitute “ controllers ”.
- (5) In paragraph 69(2)(a) (processing and access of data), for “the 1998 Act, and any directly applicable EU instrument relating to data protection;” substitute “—
- (i) the data protection legislation, and
  - (ii) any directly applicable EU legislation which is not part of the data protection legislation but which relates to data protection;”.
- (6) In paragraph 94(4) (variation of a contract: general)—
- (a) omit paragraph (b), and
  - (b) after paragraph (d) (but before the final “and”) insert—
- “(da) the data protection legislation;
  - (db) any directly applicable EU legislation which is not part of the data protection legislation but which relates to data protection;”.

*National Health Service (Primary Medical Services Section  
17C Agreements) (Scotland) Regulations 2018 (S.S.I. 2018/67)*

426 The National Health Service (Primary Medical Services Section 17C Agreements) (Scotland) Regulations 2018 are amended as follows.

427 (1) Regulation 1 (citation and commencement) is amended as follows.

(2) In paragraph (2), omit “Subject to paragraph (3).”.

(3) Omit paragraph (3).

428 In regulation 3(1) (interpretation)—

- (a) omit the definition of “the 1998 Act”, and
- (b) at the appropriate place insert—

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- “the data protection legislation” has the same meaning as in the Data Protection Act 2018 (see section 3 of that Act);” and
- (c) omit the definition of “GDPR”.
- 429 (1) Schedule 1 (content of agreements) is amended as follows.
- (2) In paragraph 34 (interpretation)—
- (a) in sub-paragraph (1)—
- (i) omit “Subject to sub-paragraph (3),”,
- (ii) before paragraph (a) insert—
- “(za) “controller” has the same meaning as in Parts 5 to 7 of the Data Protection Act 2018 (see section 3(6) and (14) of that Act);
- (zb) “data protection officer” means a person designated as a data protection officer under the data protection legislation;”, and
- (iii) for paragraph (d) substitute—
- “(e) “personal data” and “processing” have the same meaning as in Parts 5 to 7 of the Data Protection Act 2018 (see section 3(2), (4) and (14) of that Act).”,
- (b) omit sub-paragraphs (2) and (3),
- (c) in sub-paragraph (4), for “the 1998 Act and any directly applicable EU instrument relating to data protection” substitute “—
- (a) the data protection legislation, or
- (b) any directly applicable EU legislation which is not part of the data protection legislation but which relates to data protection.”, and
- (d) in sub-paragraph (6)(b), for “data controllers” substitute “controllers”.
- (3) In paragraph 37(2)(a) (processing and access of data), for “the 1998 Act, and any directly applicable EU instrument relating to data protection;” substitute “—
- (i) the data protection legislation, and
- (ii) any directly applicable EU legislation which is not part of the data protection legislation but which relates to data protection;”.
- (4) In paragraph 61(3) (variation of agreement: general)—
- (a) omit paragraph (b), and
- (b) after paragraph (d) (but before the final “and”) insert—
- “(da) the data protection legislation;
- (db) any directly applicable EU legislation which is not part of the data protection legislation but which relates to data protection;”.



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VALID FROM 25/05/2018

### PART 3

#### MODIFICATIONS

##### *Introduction*

- 430 (1) Unless the context otherwise requires, legislation described in sub-paragraph (2) has effect on and after the day on which this Part of this Schedule comes into force as if it were modified in accordance with this Part of this Schedule.
- (2) That legislation is—
- (a) subordinate legislation made before the day on which this Part of this Schedule comes into force;
  - (b) primary legislation that is passed or made before the end of the Session in which this Act is passed.
- (3) In this Part of this Schedule—
- “primary legislation” has the meaning given in section 211(7);
  - “references” includes any references, however expressed.

##### *General modifications*

- 431 (1) References to a particular provision of, or made under, the Data Protection Act 1998 have effect as references to the equivalent provision or provisions of, or made under, the data protection legislation.
- (2) Other references to the Data Protection Act 1998 have effect as references to the data protection legislation.
- (3) References to disclosure, use or other processing of information that is prohibited or restricted by an enactment which include disclosure, use or other processing of information that is prohibited or restricted by the Data Protection Act 1998 have effect as if they included disclosure, use or other processing of information that is prohibited or restricted by the GDPR or the applied GDPR.

##### *Specific modification of references to terms used in the Data Protection Act 1998*

- 432 (1) References to personal data, and to the processing of such data, as defined in the Data Protection Act 1998, have effect as references to personal data, and to the processing of such data, as defined for the purposes of Parts 5 to 7 of this Act (see section 3(2), (4) and (14)).
- (2) References to processing as defined in the Data Protection Act 1998, in relation to information, have effect as references to processing as defined in section 3(4).
- (3) References to a data subject as defined in the Data Protection Act 1998 have effect as references to a data subject as defined in section 3(5).

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- (4) References to a data controller as defined in the Data Protection Act 1998 have effect as references to a controller as defined for the purposes of Parts 5 to 7 of this Act (see section 3(6) and (14)).
- (5) References to the data protection principles set out in the Data Protection Act 1998 have effect as references to the principles set out in—
  - (a) Article 5(1) of the GDPR and the applied GDPR, and
  - (b) sections 34(1) and 85(1) of this Act.
- (6) References to direct marketing as defined in section 11 of the Data Protection Act 1998 have effect as references to direct marketing as defined in section 122 of this Act.
- (7) References to a health professional within the meaning of section 69(1) of the Data Protection Act 1998 have effect as references to a health professional within the meaning of section 204 of this Act.
- (8) References to a health record within the meaning of section 68(2) of the Data Protection Act 1998 have effect as references to a health record within the meaning of section 205 of this Act.

## PART 4

### SUPPLEMENTARY

VALID FROM 25/05/2018

#### *Definitions*

433 Section 3(14) does not apply to this Schedule.

#### *Provision inserted in subordinate legislation by this Schedule*

434 Provision inserted into subordinate legislation by this Schedule may be amended or revoked as if it had been inserted using the power under which the subordinate legislation was originally made.

#### **Commencement Information**

**I40** Sch. 19 para. 434 in force at Royal Assent for specified purposes, see s. 212(2)(f)

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VALID FROM 25/05/2018

SCHEDULE 20

Section 213

TRANSITIONAL PROVISION ETC

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