

File identification

Resolution of sanctioning procedure no. PS 79/2022, referring to the College of Secretaries, Comptrollers and Treasurers of Local Administration of Tarragona.

Background

1 . The Catalan Data Protection Authority (APDCAT) has launched an audit plan in 2022 with the aim of to verify whether certain entities included within their jurisdiction, which have the obligation to designate a data protection delegate (DPD) and to communicate this designation to the APDCAT, had fulfilled these obligations, in accordance with what is provided for in the articles 37 of Regulation (EU) 2016/696 of the Parliament and of the Council, of April 26, 2016, relating to the protection of natural persons with regard to the processing of personal data and the free movement of such data (RGPD), and 34 of Organic Law 3/2018, of December 5, on the protection of personal data and guarantee of digital rights (LOPDGDD).

This audit is part of the exercise of the powers of investigation that the RGPD attributes to the control authorities, specifically article 58.1. *b* , which provides that they can carry out investigations in the form of data protection audits. Likewise, article 5.1 of Law 32/2010, of October 1, of the APDCAT, includes among the functions of the Authority that of preparing audit plans.

2 . Among the entities that made up the sample of this audit, the professional associations of Catalonia were selected, in accordance with the criteria approved by the Advisory Council at the session of 12/14/2021.

3 . On 03/03/2022, the corresponding checks were made in the internal register of DPD of the APDCAT and it was found that the College of Secretaries, Comptrollers and Treasurers of Local Government of Tarragona had not notified the designation of the data protection officer at the Authority.

For this reason, and in accordance with what is established in article 20.1. *b* of Law 32/2010, of the Catalan Data Protection Authority, on 03/07/2022 a first request was addressed to this college, which was notified on 03/18/2022, by so that a data protection delegate is designated within one month, if they have not yet been designated, and that in any case this designation is communicated to the APDCAT.

The Association of Secretaries, Comptrollers and Treasurers of Local Administration of Tarragona did not respond to this request within the deadline.

4 . On 06/13/2022, the Authority addressed a new request to the Association of Secretaries, Comptrollers and Treasurers of Local Government of Tarragona, which was notified on 06/24/2022, so that in the maximum period of 15 days to notify the Authority of the appointment of the DPD.

In this second request, the College was warned that, in accordance with the provisions of paragraph 6 of article 20 of Law 32/2010, if, once the deadline granted had passed, the request had not been complied with they could initiate punitive actions.

The deadline granted to communicate the appointment of the DPD to the APDCAT was exceeded by far, without having received a response.

5 . On the basis of the antecedents that have been related so far, the actions carried out as part of the audit were incorporated into the file (IP 381/2022).

6. On 03/11/2022, the director of the Catalan Data Protection Authority agreed to initiate a sanctioning procedure against the Association of Secretaries, Comptrollers and Treasurers of Local Government of Tarragona for an infringement provided for in the Article 83.4. a in relation to article 37.7, both of the RGPD, and article 34.3 of the LOPDGDD. This initiation agreement was made available to the imputed entity, through e- Notum , at the email address (...) , on 08/11/2022.

The period of 10 calendar days to access said notification was exceeded without the imputed entity having accessed its content.

7. On 11/23/2022, the initiation agreement was sent to the imputed entity by post, without it being possible to deliver this notification by post.

8. On 18/01/2023, the instructor of the present procedure appeared in person at the headquarters of the imputed entity and hand-delivered the initiation agreement to the imputed entity because, given a deadline of 10 business days from the day after receipt of this notification by hand, could formulate allegations and propose the practice of evidence that it considers appropriate to defend its interests.

The deadline has passed and no objections have been submitted.

proven facts

The Association of Secretaries, Comptrollers and Treasurers of Local Government of Tarragona has not notified the Catalan Data Protection Authority of the appointment of a data protection officer who , in accordance with article 37.1 of the RGPD in relation to article 34.1. a of the LOPDGDD, is a mandatory designation.

Fundamentals of law

1. The provisions of the LPAC , and article 15 of Decree 278/1993, according to the provisions of DT 2a of Law 32/2010, of October 1, of Catalan Data Protection Authority. In accordance with articles 5 and 8 of Law 32/2010, the resolution of the sanctioning procedure corresponds to the director of the Catalan Data Protection Authority.

2. In accordance with article 64.2.f) of the LPAC and in accordance with what is indicated in the agreement initiating this procedure, this resolution should be issued without a previous resolution proposal, given that the accused entity has not made allegations in the initiation agreement. This agreement contained a precise statement on the imputed liability.

3. In relation to the facts described in the proven facts section, relating to the obligation to notify the Catalan Data Protection Authority of the appointment of a data protection officer , refer to the article 37.7 of the RGPD and article 34.3 of the LOPDGDD, according to which

the entities included in the scope of action of the APDCAT legally obliged to designate a DPD must communicate this designation to the Authority Catalan Data Protection Authority.

During the processing of this procedure, the fact described in the proven facts section, which constitutes the offense provided for in article 83.4, has been duly proven. *a* of the RGPD, which typifies as such the violation of " *the obligations of the responsible and of the manager pursuant to articles 8, 11, 25 to 39, 42 and 43.* ", among which there is the provision in Article 37.7 of the RGPD.

In turn, this conduct has been included as a minor infraction in article 74. *p* of the LOPDGDD:

"The rest of the purely formal violations of the articles mentioned in paragraphs 4 and 5 of article 83 of Regulation (EU) 2016/679 and, in particular, the following are considered minor and prescribed for the year:) Not to publish the contact details of the data protection delegate, or not to communicate them to the data protection authority, when their appointment is required in accordance with article 37 of Regulation (EU) 2016/679 and article 34 of this Organic Law."

4. Article 77.2 LOPDGDD provides that, in the case of infractions committed by those in charge or in charge listed in art. 77.1 LOPDGDD, the competent data protection authority:

"(...) must issue a resolution that sanctions them with a warning. The resolution must also establish the measures to be adopted so that the conduct ceases or the effects of the offense committed are corrected. The resolution must be notified to the person in charge or in charge of the treatment, to the body to which it depends hierarchically, if applicable, and to those affected who have the status of interested party, if applicable."

In terms similar to the LOPDGDD, article 21.2 of Law 32/2010 , determines the following:

"2. In the case of violations committed in relation to publicly owned files, the director of the Catalan Data Protection Authority must issue a resolution declaring the violation and establishing the measures to be taken to correct its effects . In addition, it can propose, where appropriate, the initiation of disciplinary actions in accordance with what is established by current legislation on the disciplinary regime for personnel in the service of public administrations. This resolution must be notified to the person responsible for the file or the treatment, to the person in charge of the treatment, if applicable, to the body to which they depend and to the affected persons, if any".

By virtue of this power, and given that on the date of the dictation of this resolution the College has not notified the APDCAT of the appointment of a data protection delegate , the College of Secretaries, Comptrollers and Treasurers of the Local Administration of Tarragona to inform the Catalan Authority of Data Protection the appointment of a data protection officer who, article 37.1 of the RGPD in relation to article 34.1 . *a* of the LOPDGDD, is a mandatory designation.

Once the corrective measure described has been adopted, within the specified period, the Tarragona Local Government Association of Secretaries, Comptrollers and Treasurers must inform the Authority within the following 10 days, without prejudice to the inspection faculty of this Authority to make the corresponding checks.

For all this, I resolve:

1. Admonish the College of Secretaries, Comptrollers and Treasurers of Local Administration of Tarragona as responsible for an infringement provided for in article 83.4. a in relation to article 37.7, both of the RGPD, and article 34.3 of the LOPDGDD.
2. To require the College of Secretaries, Comptrollers and Treasurers of Local Administration of Tarragona to adopt the corrective measures indicated in the 4th legal basis and accredit before this Authority the actions carried out to comply with them.
3. Notify this resolution to the College of Secretaries, Comptrollers and Treasurers of Local Government of Tarragona.
4. Communicate the resolution to the Ombudsman, in accordance with the provisions of article 77.5 of the LOPDGDD.
5. Order that this resolution be published on the Authority's website (apdcat.gencat.cat) , in accordance with article 17 of Law 32/2010, of October 1.

Against this resolution, which puts an end to the administrative process in accordance with articles 26.2 of Law 32/2010, of October 1, of the Catalan Data Protection Authority, and 14.3 of Decree 48/2003 , of February 20, by which the Statute of the Catalan Data Protection Agency is approved, the imputed entity can file, with discretion, an appeal for reinstatement before the director of the Catalan Data Protection Authority Data, within one month from the day after its notification, in accordance with the provisions of article 123 et seq. of the LPAC. You can also directly file an administrative contentious appeal before the administrative contentious courts, within two months from the day after its notification, in accordance with articles 8, 14 and 46 of Law 29/1998, of July 13, regulating the administrative contentious jurisdiction.

If the imputed entity expresses to the Authority its intention to file an administrative contentious appeal against the final administrative decision, the decision will be provisionally suspended in the terms provided for in article 90.3 of the LPAC.

Likewise, the imputed entity can file any other appeal it deems appropriate to defend its interests.

The director,