



# Services

*Practical TPS solutions for businesses*

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Information Commissioner's Office

## Horizon Windows Ltd

## ENFORCEMENT NOTICE

**TEL: 0843 005 9576\***

### TPS Services

Telephone: 0843 005 9576\*

Fax: 0844 774 8411

[www.tpsservices.co.uk](http://www.tpsservices.co.uk)

### TPS Checker

Telephone: 0844 774 8410\*

Fax: 0844 774 8411

[www.tpschecker.co.uk](http://www.tpschecker.co.uk)

### I Want That Ltd

Unit A, 5 Colville Road  
Acton, London, W3 8BL

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\*Calls cost 5p per minute plus your phone company's access charge.

**DATA PROTECTION ACT 1998**

**SUPERVISORY POWERS OF THE INFORMATION COMMISSIONER**

**ENFORCEMENT NOTICE**

To: Horizon Windows Limited

Of: 37 Uplands Road, Pontardawe, Swansea, SA8 4AH

1. The Information Commissioner ("Commissioner") has decided to issue Horizon Windows Limited ("HWL") with an enforcement notice under section 40 of the Data Protection Act 1998 ("DPA"). The notice is in relation to a contravention of Regulation 21 of the Privacy and Electronic Communications (EC Directive) Regulations 2003 ("PECR") by HWL.
2. This notice explains the Commissioner's decision.

**Legal framework**

3. HWL, whose registered office is given above (companies house registration number: 08922764), is the person stated in this notice to have used a public electronic communications service for the purpose of making unsolicited calls for the purposes of direct marketing contrary to regulation 21 of PECR.
4. Regulation 21 of PECR states:

“(1) A person shall neither use, nor instigate the use of, a public electronic communications service for the purposes of making unsolicited calls for direct marketing purposes where-

- (a) the called line is that of a subscriber who has previously notified the caller that such calls should not for the time being be made on that line; or
- (b) the number allocated to a subscriber in respect of the called line is one listed in the register kept under regulation 26.”

5. Regulation 21 paragraphs (2), (3), (4) and (5) provide that:

- “(2) A subscriber shall not permit his line to be used in contravention of paragraph (1).
- (3) A person shall not be held to have contravened paragraph (1)(b) where the number allocated to the called line has been listed on the register for less than 28 days preceding that on which the call is made.
- (4) Where a subscriber who has caused a number allocated to a line of his to be listed in the register kept under regulation 26 has notified a caller that he does not, for the time being, object to such calls being made on that line by that caller, such calls may be made by that caller on that line, notwithstanding that the number allocated to that line is listed in the said register.
- (5) Where a subscriber has given a caller notification pursuant to paragraph (4) in relation to a line of his—

- (a) the subscriber shall be free to withdraw that notification at any time, and
- (b) where such notification is withdrawn, the caller shall not make such calls on that line.”
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6. Under regulation 26 of PECR, the Commissioner is required to maintain a register of numbers allocated to subscribers who have notified them that they do not wish, for the time being, to receive unsolicited calls for direct marketing purposes on those lines. The Telephone Preference Service Limited (“TPS”) is a limited company set up by the Commissioner to carry out this role. Businesses who wish to carry out direct marketing by telephone can subscribe to the TPS for a fee and receive from them monthly a list of numbers on that register.
7. Section 11(3) of the DPA defines direct marketing as “the communication (by whatever means) of any advertising or marketing material which is directed to particular individuals”. This definition also applies for the purposes of PECR (see regulation 2(2)).
8. The DPA contains enforcement provisions at Part V which are exercisable by the Commissioner. Those provisions are modified and extended for the purposes of PECR by Schedule 1 PECR.
9. Section 40(1)(a) of the DPA (as extended and modified by PECR) provides that if the Commissioner is satisfied that a person has contravened or is contravening any of the requirements of the Regulations, he may serve him with an Enforcement Notice requiring him to take within such time as may be specified in the Notice, or to refrain from taking after such time as may be so specified, such steps as are so specified.

**The contravention**

10. The Commissioner has received numerous complaints via the TPS and from individuals directly who are subscribers to specific telephone lines. The individuals allege that they have received unsolicited marketing calls on those lines from HWL. Each individual states that they have previously notified HWL that such calls should not be made on that line and/or have registered their number with the TPS.
11. In particular, on the basis of the complaints received between 12 January 2016 and 16 January 2017, it is apparent that HWL used a public telecommunications service for the purpose of making 104 unsolicited calls for direct marketing purposes to subscribers where the number allocated to the subscriber in respect of the line called was a number listed on the register of numbers kept by the Commissioner in accordance with regulation 25, contrary to regulation 21(1)(b) of PECR.
12. The Commissioner is also satisfied for the purposes of regulation 21 that these calls were made to subscribers who had registered with the TPS at least 28 days prior to receiving the calls and had not given their prior consent to HWL to receive calls.
13. In the circumstances the Commissioner is satisfied that HWL has contravened regulation 21 of PECR in making such calls for direct marketing purposes to subscribers.
14. The Commissioner has considered, as she is required to do under section 40(2) of the DPA (as extended and modified by the Regulations) when deciding whether to serve an Enforcement Notice, whether any contravention has caused or is likely to cause any person

damage. The Commissioner has decided that it is unlikely that actual damage has been caused in this instance.

15. The Commissioner has also considered whether, in the circumstances, she should exercise her discretion so as to issue an Enforcement Notice. She has taken into account representations dated 17 May 2018 made in response to the Preliminary Enforcement Notice and in other correspondence on this matter. Furthermore, additional enquiries have revealed that since the period of the contravention, including more recently, complaints have continued to be received about direct marketing calls to TPS registered numbers by HWL. In particular, a further 4 complaints have been made to the Commissioner's online reporting tool and 21 to the TPS, which would suggest that HWL are not taking seriously their responsibilities under PECR. The TPS have recently confirmed to the Commissioner that HWL has not downloaded a copy of the TPS register of numbers since February 2017 which would indicate that HWL are not effectively screening numbers against the most up to date lists.
16. The Commissioner has concluded that it is appropriate for her to exercise her discretion in favour of issuing an Enforcement Notice in the circumstances. The contravention is serious in terms of the volume and continuing nature of complaints.
17. The issuing of an Enforcement Notice in this case would be fair and just. It would accord with the Commissioner's statutory guidance and regulatory objectives. It would act as an encouragement to ensure that such PECR compliance issues are not repeated elsewhere.
18. **In view of the matters referred to above the Commissioner hereby gives notice that, in exercise of her powers under**

**section 40 of the Act, she requires that HWL shall within 35 days of the date of this Notice:**

Except in the circumstances referred to in paragraphs (3) & (4) of regulation 21 of PECR, neither make, nor instigate unsolicited calls for direct marketing purposes to subscribers where the number allocated to the subscriber in respect of the called line was a number listed on the register of numbers kept by the Commissioner in accordance with regulation 26, contrary to regulation 21(1)(b) of PECR.

19. There is a right of Appeal against this Notice to the First-tier Tribunal (Information Rights), part of the General Regulatory Chamber. Information about appeals is set out in the attached Annex 1.
20. Any Notice of Appeal should be sent so that it is received by the Tribunal within 28 days of the date on which this Notice is sent.

Dated the 18<sup>th</sup> Day of June 2018

Signed: 

Stephen Eckersley  
Head of Enforcement  
Information Commissioner's Office  
Wycliffe House  
Water Lane  
Wilmslow  
Cheshire  
SK9 5AF

## ANNEX 1

### RIGHTS OF APPEAL AGAINST DECISIONS OF THE COMMISSIONER

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1. Section 48 of the Data Protection Act 1998 gives any person upon whom a monetary penalty notice or variation notice has been served a right of appeal to the First-tier Tribunal (Information Rights) (the "Tribunal") against the notice.
2. If you decide to appeal and if the Tribunal considers:-
  - a) that the notice against which the appeal is brought is not in accordance with the law; or
  - b) to the extent that the notice involved an exercise of discretion by the Commissioner, that he ought to have exercised his discretion differently,

the Tribunal will allow the appeal or substitute such other decision as could have been made by the Commissioner. In any other case the Tribunal will dismiss the appeal.

3. You may bring an appeal by serving a notice of appeal on the Tribunal at the following address:

GRC & GRP Tribunals  
PO Box 9300  
Arnhem House  
31 Waterloo Way  
Leicester  
LE1 8DJ

- a) The notice of appeal should be sent so it is received by the Tribunal within 28 days of the date of the notice.
- b) If your notice of appeal is late the Tribunal will not admit it unless the Tribunal has extended the time for complying with this rule.



4. The notice of appeal should state:-
  - a) your name and address/name and address of your representative (if any);
  - b) an address where documents may be sent or delivered to you;
  - c) the name and address of the Information Commissioner;
  - d) details of the decision to which the proceedings relate;
  - e) the result that you are seeking;
  - f) the grounds on which you rely;
  - g) you must provide with the notice of appeal a copy of the enforcement notice or variation notice;
  - h) if you have exceeded the time limit mentioned above the notice of appeal must include a request for an extension of time and the reason why the notice of appeal was not provided in time.
5. Before deciding whether or not to appeal you may wish to consult your solicitor or another adviser. At the hearing of an appeal a party may conduct his case himself or may be represented by any person whom he may appoint for that purpose.
6. The statutory provisions concerning appeals to the First-tier Tribunal (General Regulatory Chamber) are contained in sections 48 and 49 of, and Schedule 6 to, the Data Protection Act 1998, and Tribunal Procedure (First-tier Tribunal) (General Regulatory Chamber) Rules 2009 (Statutory Instrument 2009 No. 1976 (L.20)).