



# **EMPLOYEE AND APPLICANT PRIVACY NOTICE**

## **Overview of information held and shared**

This Privacy Notice explains and describes how this GP Practice uses and manages the information it holds about its staff and job applicants. This includes how the information may be shared with other NHS organisations and with non-NHS organisations, and how the confidentiality of information is maintained.

### **Our contact details**

Organisation Name	Stour Surgery
Address	49 Barrack Road, Christchurch BH23 1PA
Phone number	01202 464500
Email	stour.surgery@nhs.net
Data Protection Officer / Practice Manager	Faye Francombe

### **What type of information do we hold about job applicants?**

We collect and process the following information about job applicants:

- personal contact details – name, address, contact telephone number(s), email address;
- employment and education history including your qualifications, skills, experience, membership of any professional bodies, employment references and details of any criminal convictions that you declare;
- a copy of your passport or similar photographic identification and / or proof of your current address;
- information about your current level of remuneration, including benefit entitlements;
- whether or not you have a disability for which the Practice needs to make reasonable adjustments during the recruitment process;
- details about your health including any medical needs or conditions;
- details of any pre-employment assessments;
- information about your entitlement to work in the UK;
- equal opportunities monitoring information including information about your ethnic origin, sexual orientation, health and religion or belief.

The Practice collects this information from a number of sources, such as:

- application forms;
- CVs or resumes;

- copies of your passport and other identity documents;
- interview notes;

We are required to obtain this information about you to comply with employment law in order to assess your capacity to work, to ensure that equality law is being met through the recruitment process and to comply with any safeguarding laws relating to the role you are applying for. You are under no statutory or contractual obligation to provide data to the Practice during the recruitment process. However, if you do not provide the requested information, the Practice may not be able to process your application.

### **Sharing job applicant information**

Your information will be shared internally for the purposes of employment. This includes:

- interviewers involved in the recruitment process;
- GPs and Practice Manager.

If you are successful in your application, the Practice will also share your data with former employers and nominated individuals in order to obtain references for you carry out employment background checks with providers, and obtain necessary criminal records checks through the Disclosure and Barring Service (DBS).

### **What type of information do we hold about our staff?**

We collect and process the following information about our staff:

- identity details – name, date of birth, gender, nationality, NI number;
- images (whether captured on CCTV, by photograph or video);
- personal contact details – address, contact telephone number(s), email address;
- a copy of your passport or similar photographic identification and / or proof of your current address;
- details about your marital status, 'next of kin' or emergency contact information;
- employment and education history including your qualifications, job application, employment references, right to work information and details of any criminal convictions that you declare;
- Disclosure Barring Service (DBS) criminal record check details where necessary for the job role;
- information about your job role and employment contract including start/leave dates, salary, any changes to your employment contract, working patterns and any requests for flexible working or changes to employment, and location of employment;
- performance at work documents such as probationary reviews, appraisals and any training or development you have undertaken;
- grievance and dignity at work records and investigations, disciplinary records and documentation, incident investigations and statements where you are involved;
- accident records, workplace assessments, access needs assessments and reasonable adjustment documentation;

- medical and health conditions, immunisation records if appropriate for your role, and details you have provided about protected characteristics;
- details of time spent working, including overtime, expenses and other claimed payments;
- details of leave including sick leave, holidays, special leave, sabbaticals and career breaks;
- pension details, bank account details payroll records and tax status information;
- details relating to maternity, paternity, shared parental / adoption leave and pay applications for the relevant leave, copies of MATB1 forms/matching certificates and other relevant documentation;
- details relating to your car insurance and registration for parking and mileage claims;
- details of trade union membership, and equal opportunities monitoring information including information about your ethnic origin, sexual orientation, health and religion or philosophical belief.

The Practice collects this information from a number of sources, such as:

- application forms;
- CVs or resumes;
- copies of your passport and other identity documents;
- interview notes and any assessment information;
- information provided by you or generated about you during the course of your employment.

You are required under your employment contract to provide some information to the Practice, such as absences from work, annual leave requirements, information about disciplinary or other matters. Failure to provide this information may mean that you are unable to exercise your statutory rights.

### **Sharing staff information**

Your information will be shared internally for the purposes of employment. This includes:

- line managers and Human Resources;
- finance and payroll;
- Practice Manager or team members with responsibility for health and safety including first aid, accidents, incident investigations and complaints.

### **Other organisations we share with**

The Practice shares and receives employee information from a range of organisations or individuals for a variety of lawful purposes, including:

- NHS Jobs and other employment agencies;
- Occupational Health;
- Payroll, HMRC;
- NHS Pensions;

- IT staff;
- your employer or place of work if you are a secondee or a contractor;
- any new employer under TUPE or where a reference is requested;
- disclosure to bodies with statutory investigative powers e.g. the Care Quality Commission, the GMC, the Audit Commission and Health Services Ombudsman;
- NHS England;
- emergency services in the case of an emergency.

Employee information is only shared with other organisations when there is a legal basis to do so, such as:

- where there is a contract in place for data processing;
- where there is a Court Order or statutory duty to share information;
- where there is a statutory power to share information;
- where the employee has given explicit consent to the sharing of information.

Employee information is only shared on a need to know basis when there is a direct reason to do so, and is limited to what is necessary for that purpose such as providing employment rights and payroll.

## **Purposes of processing, retention and your rights**

### **Purposes of processing**

Our Practice processes employee and job applicant data in order to meet our statutory legal obligations, to provide employment and an employment contract, to check your entitlement to work in the UK and whether you have any criminal convictions, to pay you and manage benefit, pension and insurance entitlements in accordance with your employment contract. We keep records in order to have accurate and up to date information available to ensure that employee rights and remuneration are in place. Our Practice values the concept of data minimisation and uses anonymous or pseudonymised data where possible.

Your data will be stored in a range of different places, including your personnel file, and HR, email and IT systems. Information will also be stored on our payroll system – ‘pay dashboard’ and on our clinical system – SystemOne.

We do not process the information of unsuccessful job applicants but your information may be retained for future opportunities. Please see section on retention.

### **Primary care networks**

Primary Care Networks (PCNs) are groups of GP Practices working closely together with their local partners for the benefit of patients and the local community. Our Practice is part of the Christchurch PCN, along with Highcliffe Medical Centre, Christchurch Medical Practice and the Farmhouse Surgery. Your information (name, clinics and working hours) may be seen by employees from anywhere in our PCN, at any of the Practices, in order for our PCN administrators to be able to view clinics and book appointments.

### **Primary Care Web Tool**

Practices are required to make national quarterly returns to NHS England via the primary Care Web Tool system. This is a submission to support a national record of the primary care workforce.

### **Dorset integrated care system (ICS)**

Dorset's integrated care system, known locally as 'Our Dorset' is a partnership of local organisations (health and local councils) working together to improve services to meet the needs of local people and deliver better outcomes. Our Dorset have a Dorset Intelligence and Insight (DiiS) Business Intelligence platform which uses pseudonymised data to reveal important insights into local and community healthcare, in order to inform the future of healthcare for communities. In order to effectively manage new services, pseudonymised employee information is also shared into the DiiS in order to assess the workforce requirements.

### **Other ways in which staff or applicant information may be used:**

#### **Incident management**

If you are involved in an incident, for example you slip and fall whilst in the Practice, your information may be included in the incident report and used as part of the investigation process.

#### **Recorded telephone calls**

We record all incoming and outgoing telephone calls to and from the Practice to assist with training, for patient telephone consultations, for medic-legal purposes and for quality assurance and responding to complaints. Recordings of telephone calls will only be accessed where necessary by the Practice management team. We store recordings in accordance with the Records Management Code of Practice for Health and Social Care 2016, after which they are deleted.

#### **Complaints and queries**

If a complaint or query is raised with the Practice which requires your involvement, we may obtain statements from you and/or conduct interviews with you and hold that information within a secure database in order to ensure that the complaint or query can be answered appropriately. Details of complaints or queries will not be stored within your employment records.

#### **Secondary uses**

We may also process data for the following secondary uses:

- **Risk stratification and population health management:** we use the services of analytics staff in Dorset Healthcare as part of the Intelligent Working Programme (IWP) to pseudonymise and extract data and transfer it to analytics staff at Optum for linking with Secondary Uses data with the aim of improving short term and medium term health outcomes for local populations through the application of Population Health Management. Pseudonymised patient data and staffing and

vacancy levels are used to allow Dorset the opportunity to plan and sufficiently staff future services.

- **National archiving:** records made by an NHS organisation are Public Records in accordance with Schedule 1 of the Public Records Act 1958. The Public Records Act 1958 requires organisations to select core records for permanent preservation at the relevant Place of Deposit (PoD) appointed by the Secretary of State for Culture, Media and Sport. PoDs are usually public archive services provided by the relevant local authority. Records no longer required for current service provision may be temporarily retained pending transfer to a PoD and records containing sensitive personal data should not normally be transferred early.
- **Improving Services:** pseudonymised workforce information is sometimes used to help assess the workforce requirements when identifying areas for improvement in the services provided to our communities.

These secondary uses of data help the NHS to meet our statutory obligations under the Public Records Act 1958, and to plan and manage health services for the population of Dorset.

### **Data controller and processors**

The Practice is the data controller of the data we gather, hold and create about you. We engage with data processors who may process your data. All data processors are held to strict contractual obligations which specify the limitations, any access arrangements, storage and retention of data on our behalf as well as strict confidentiality and information handling clauses. All data processors are also held to high information security standards and are asked to provide evidence of how they meet data protection legislation. These processors may be software suppliers or specialist and support services.

### **Transfers to third countries or international organisations**

The Practice does not routinely transfer data outside of the European Economic Area and will assess any adhoc transfers against adequacy (GDPR Article 45) and appropriateness of safeguards and data protection (GDPR Article 46) of the country of transfer.

### **Retention periods**

The Practice works to the Records Management Code of Practice for Health and Social Care 2016 Retention Schedule: <https://digital.nhs.uk/data-and-information/looking-after-information/data-security-and-information-governance/codes-of-practice-for-handling-information-in-health-and-care/records-management-code-of-practice-for-health-and-social-care-2016>.

### **Employee retention:**

As a standard we will retain your full employment record for 6 years, after which it will be condensed to a summary and retained until your 75<sup>th</sup> birthday, or 6 years after if you are over 75 years of age.

## **Applicant retention:**

Job applications and adverts are retained on NHS Jobs for up to 460 days after the closing date, depending on the relevant closing date for the advert, and then deleted. An audit log will be retained for 24 months to allow processes to be independently checked. If you have applied for a position via an alternative employment agency, they will be able to provide you with their own privacy notice. We will retain all candidate applications for 6 months, in the event of another position arising that we wish to offer you. After such a time we will securely dispose of your information.

## **Data subject rights**

The law gives you certain rights in relation to the personal information that we hold about you:

### **1. Right of access to your information**

You have the right to request a copy of the personal information that we hold about you by contacting the Practice Manager. We will provide this information, within one month, free of charge. We can restrict disclosure of your information if we feel that granting access would disclose information likely to cause serious harm to your physical/mental health, or that of another individual, and you do not already know the information. Or where access would disclose information about/provided by a third party who could be identified from the information and who has not consented for it to be released.

### **2. Right to restrict or object to the use of your information**

We cannot share your information with anyone else for a purpose that is not directly related to your employment or a statutory requirement without your consent. If you wish to restrict or object to the use of your information, you should contact our Practice Manager.

### **3. Right to have incorrect information corrected**

If you feel that the information we hold about you is incorrect, you have the right to ask for it to be corrected. This applies to matters of fact, not opinion. Incorrect contact information will be corrected immediately.

### **4. Right to data portability**

This right only applies where the original processing is automated and is based on your consent or fulfilment of a contract that you are party to. In the spirit of the Regulation, you can request that your personal information is transferred in an electronic or other form to another organisation.

### **5. Right to appropriate decision making**

The right to appropriate decision making applies to automated processing, including profiling, which produces legal outcomes, or that significantly affects you. The Practice has not identified any automated processing which is solely automated and without human involvement in the outcome of the decision.

## **6. Right to erasure**

This is sometimes known as 'the right to be forgotten', but it is not an absolute right. You cannot ask for this right in relation to records which the Practice is legally bound to retain. The Practice has an obligation not to retain information for longer than is necessary and to dispose of information securely.

## **7. Right to lodge a complaint**

If you are dissatisfied with the handling of your personal information, you have the right to make a complaint. In the first instance, formal complaints should be addressed to the Practice Manager.

You also have the right to make a complaint to the Information Commissioner's Office (the independent regulator of data protection) by using their online submission form <https://ico.org.uk/global/contact-us/> or by writing to:

Information Commissioner's Office  
Wycliffe House  
Water Lane  
Wilmslow  
Cheshire  
SK9 5AF

## **The law explained**

### **Data Protection Principles**

There are six core principles to data protection legislation:

1. Personal data must be processed lawfully, fairly and transparently (lawfulness, fairness and transparency).
2. Personal data must be collected for specific, explicit and legitimate purposes and not processed in a manner that is incompatible with those purposes (purpose limitation).
3. Personal data must be adequate, relevant and limited to what is necessary in relation to the purposes for which they are processed (data minimisation).
4. Personal data must be accurate and up to date (accuracy).
5. Personal data must be kept in a form which permits identification of data subjects for no longer than is necessary for the purposes for which the personal data are processed (storage limitation).
6. Personal data is processed in a manner that ensures appropriate Security, including protection against unauthorised or unlawful processing and against accidental loss, destruction or damage, using appropriate technical or organisational measures (integrity and confidentiality).

### **Lawful basis**

The Practice relies on the following lawful bases for processing your personal data under the GDPR and for processing information about staff criminal convictions and offences:

- **Article 6(1)(b):** "processing is necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract"
- **Article 6(1)(c):** "processing is necessary for compliance with a legal obligation to which the controller is subject"
- **Article 6(1)(e):** "processing is necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller."

The Practice must operate in accordance with UK legislation such as the National Health Service Act 2006, the Health and Social Care (Safety and Quality) Act 2015, Equality Act 2010, Health and Safety at Work Act 1974, Transfer of Undertakings (Protection of Employment) Regulations 2006, the Crime and Disorder Act 1998, Terrorism Act(s), Children's Act(s) 1989 and 2004, Mental Health Act 1983 and 2007.

Where the information we process is special category data, the additional bases that we rely on for processing under the GDPR are:

- **Article 9(2)(b):** "Processing is necessary for the purposes of carrying out the obligations and exercising specific rights of the controller or of the data subject in the field of employment and social security and social protection law."
- **Article 9(2)(f):** "Processing is necessary for the establishment, exercise or defence of legal claims or whenever courts are acting in their judicial capacity."
- **Article 9(2)(h):** "Processing is necessary for the purposes of preventative or occupational medicine, for the assessment of the working capacity of the employee, medical diagnosis, the provision of health or social care or treatment or the management of health and social care systems and services."
- **Article 9(2)(i):** "Processing is necessary for reasons of public interest in the areas of public health, such as protecting against serious cross-border threats to health or ensuring high standards of quality and safety of health care and of medicinal products or medical devices."
- **Article 9(2)(j):** "Processing is necessary for archiving purposes in the public interest, scientific or historical research purposes or statistical purposes."

Where data has been anonymised it is not considered to be personal data and the General Data Protection Regulation 2016/679 and Data Protection Act 2018 will not apply.

Our Practice upholds transparency and fairness through the use of this privacy notice. We uphold data minimisation techniques like pseudonymisation and anonymisation where possible to protect data and ensure that the purpose of processing is relevant and adequate. The Practice holds data security in the highest importance; our systems have role-based access and clinical systems are auditable to ensure transparency in the use of systems by staff. Where we hold paper records, these are held securely in a locked filing cabinet. Internal policies and controls are in place to protect your information.

