A	В	c	D	E	F	G	Н	1	J	K
4 RECORD OF PROCESSING: EMPLOYEE DATA			•					-	,	
5 Information about document retention periods can be sourced via this link: https://www.worcester.ac.uk/informationassurance/records-management.html.										
6 Description of record/purpose data processed	About who	Where does the data come from	Why are we processing it?	What is our lawful basis for processing the data? (Article 6) - some	Is it likely that any of the data could be classed as special category data?			Why do we share the data?	data be transferred to	If yes, which country & details
7 8 Recruitment and appointment Application forms - paper and electronic	Prospective employees	Prospective employee, recruitment agency	For recruitment purposes. The application form forms part of the employment file of the successful candidate	Necessary for the University to perform our employment contract with staff (Article $6(1)(b)$ )	Yes	Explicit consent	The data is held within the HR department and shared with the recruitment panel, there may be some external members on the panel	To inform the recruitment panel	No	N/A
Applicant cvs	Prospective employees	Prospective employee, recruitment agency	For recruitment purposes. The $\operatorname{cv}$ forms part of the employment file of the successful candidate	Necessary for the University to perform our employment contract with staff (Article $6(1)(b)$ )	No	N/A	The data is held within the HR department and shared with the recruitment panel, there may be some external members on the panel	To inform the recruitment panel	No	N/A
Employee Equal Opportunity Data	Prospective employees	Prospective employee	For equal opportunity monitoring purposes including reporting responsibilities for	Necessary for a task carried out in performance of public interest (equal opportunities monitoring)[Article 6 (1)e) or with explicit consent (Article 6 (1)(a)	Yes	Processing is necessary for carrying out obligations or exercising rights or obligations in employment or social security/protection as authorised by UK laws (Article 9(2)9b))	department. Anonymised data may be shared with statutory reporting	The personal data is not shared outside of the HR department. Anonymised statistical data is shared with various regulatory bodies and internally	No	N/A
Copies of qualification certificates	Appointees, as necessary	Employee	To confirm qualifications	Necessary for the University to perform its employment contract	No	N/A	N/A	N/A	No	N/A
Copies of passport	Appointees	Employee	To confirm right to work and proof of ID	with staff (Article 6(1)(b)); Necessary for compliance with a legal obligation to which the controller is subject (Right to Work)(Article	No	N/A	N/A	N/A	No	N/A
	Prospective employees	HR	To facilitate the recruitment process	6(1)(c Necessary for the University to perform our employment contract	No	N/A	Recruitment panel	To inform the recruitment	No	N/A
14 notes, schedules  References that the University receives	New employees	Previous employer, referee	To facilitate the recruitment process	with staff (Article 6(1)(b)) Necessary for the University to perform our employment contract		N/A	N/A	panel N/A	No	N/A
DBS checks were relevant	Relevant Employees		For some roles it is necessary for the employee to have a DBS check	with staff (Article 6(1)(b))  Necessary for the University to perform our employment contract with staff (Article 6(1)(b) and to meet legal obligations relating to		.,,,		170	No	N/A
16 New Starter form - bank details, emergency contact details, NI Number, date of birth, personal email details	All staff	New employee	To enable the University to put in place arrangements to pay and contact the employee	criminal records and safeguarding (Article 6(1) Necessary for the University to perform our emplyoment contract with staff (Article 6(1)(b); Processing is necessary for the purposes of the legitimate interests of the University and other individuals, except where overriden by data protection rights and freedoms (Article 6(1)(f))) in relation to Emergency Contact details	No	N/A	N/A	N/A	No	N/A
17 Employee Record (these entries relate to both record	ts held by HR and in									
18 departments) Staff record/file	All staff	and recruitment agencies, referees,	To carry out our obligations under the employment contract, to administer the employee file including payroll and providing a benefit; to provide the employee with information about their employment			Processing is necessary for carrying out obligations or exercising rights or obligations or exercising rights or obligations in engloyment or social obligations in engloyment or oscial security/protection as authorised by UK laws (Article 42/19b), processing is necessary for payroll purposes and in order to comply with obligations under the contract of employment and Equality law.	department. It is shared with the employee and in some limited circumstances their line manager or head of department. We may share your personal information with third parties where required by law, where	To perform our employment contract with staff; to comply with our legal obligations	No	N/A
Staff card record (photo and staff number)	Relevant Employees	Employee and HR records	To provide employee with staff card to enable access to relevant buildings and IT		No	N/A			No	N/A
HESA data incl: Equality and Diversity, fre pay band, contractural hours, cost centres, qualifications (band 6 and above)	All staff	Employee and HR records	resource: Statutory return, which links to TEF and REF submissions, league tables and government funding	University and the employee (Article 6(1)(b)) Processing is necessary for compliance with a legal obligation (Article 6(1)c). Processing is necessary to comply with various statutory requirements under the Education Act	Yes	Data is anonymised	HESA	To comply with statutory reporting requirement		HESA store data at data centres located in the UK & the EU. In exceptional circumstances the US and elsewhere. HESA state that personal data is only transferred to countries who are assessed as adequate by the EU
Probationary review forms	All staff	Line Manager	To inform the sign off of the probation period of a contract	Necessary for the performance of the contract between the	No	N/A	N/A	N/A	No	N/A
Appraisal forms	All staff	Employee/line manager	To assess the performance of the employee and identify any issues and training	University and the employee (Article 6(1)9b)) Necessary for the performance of the contract between the	No	N/A	Held in departments by line	N/A	No	N/A
23 Workload allocation records	Applicable staff		needs To organise the work of the department	University and the employee (Article 6(1)9b)) Necessary for the performance of the contract between the	No	N/A	managers, may be shared with HR No	N/A	No	N/A
24 Documentation relation to promotion, reward and	All staff	Employee/Line manager/HR	To assess the performance of an employee and consider whether a promotion,	University and the employee (Article 6(1)9b)) Necessary for the performance of the contract between the	No	N/A	Internally as necessary	To assess the application	No	
25 recognition schemes  Marriage, divorce and name change certificates	Applicable staff	Employee	reward or one of payment is applicable To confirm name change on HR system and audit trail	University and the employee (Article 6(1)9b))	No	N/A	N/A	N/A		N/A
26			- '	Necessary for the University to perform its employment contract with staff (Article $6(1)(b)$ )		,	•			,
27	Relevant Employees	Employees, previous employer	To ensure any relevant contractural terms such as annual leave are continued	Necessary for the University to perform our employment contract with staff (Article 6(1)(b)		N/A	HR and employee	To fulfill employment contract		N/A
Maternity risk assessments	Employee	Employee/Risk Assessor	To enable the University to make appropriate adjustments to your working environment and duties	Processing is necessary for compliance with a legal obligation (Article 6(1)c). Processing is necessary to comply with Health and Safety law and to comply with Equality law	Yes	Processing is necessary for carrying out obligations or exercising rights or obligations in employment or social security/protection as authorised by UK laws (Article 9(2)9b))	Line manager	To enable the adjustments	No	N/A
Employee risk assessments	Employee	Employee/Risk Assessor	To enable the University to make appropriate adjustments to your working environment and duties	Processing is necessary for compliance with a legal obligation (Article 6(1)d). Processing is necessary to protect the vital interests of employee	Yes	Processing is necessary for carrying out obligations or exercising rights or obligations in employment or social security/protection as authorised by UK laws (Article 9(2)9b))	Line manager, Head of Safety Services	To enable the adjustments	No	N/A
Flexible Working requests	Relevant Employees	Employee	For payroll administration and employee performance monitoring. For occupational health purpose andin order to comply with the University's obligations under Equality legislation	Processing is necessary for performance of a contract between the University and the employee (Inticle 6[1](b)); Processing is necessary for compliance with a legal obligation (Article 6(1)c). Processing is necessary to comply with employment and Equality law	Yes	raws (urticle 912,190)) Processing is nessessary for carrying out obligations or exercising rights or obligations in employment or social security/protection as authorised by UK laws (Article 912)9b), processing is necessary for pavell purposes and in order to comply with obligations under the contract of employment and Equality law.		To fulfill employment contract	No	N/A

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Health Checks and Occupational Health Reports	All staff	Occupational Health Provider	To enable the University to make reasonable adjustments on commencement of	Processing is necessary for performance of a contract between the	Yes	Processing is necessary for carrying out	N/A	N/A	No	N/A
			employment by the University. For Occupational Health purposes and in complaince with obligations under equality legislation	University and the employee (Article 61 [161]). Processing is necessary for compliance with a legal obligation (Article 61 [161]). Processing is necessary to comply with health and safety legislation recessing is necessary to comply with health and safety legislation		obligations or exercising rights or obligations in employment or social security/protection as authorised by UK laws (Article 9(2)(b); For occupational health information received outside of the normal health assessment the lawful basis for processing is Explicit Consent (Article 9(1)(a)).				
31 Contract extensions and FTCs	Relevant Employees	Employee	To record contractural variation	Processing is necessary for performance of a contract between the	No	N/A	Payroll	To fulfill employment contract	No	N/A
32				University and the employee (Article 6(1)(b))		,	**			•
Sessional and temporary staff documentation 33 including timesheets	Sessional and temporary employees	Employee/department	To record employment, hours worked and allow for payment	Processing is necessary for performance of a contract between the University and the employee (Article 6(1)(b))	No	N/A	Payroll/HR/Agency (where relevant)	To fulfill employment contract	No	N/a
	All staff	Employee/department	To record and manage leave	Processing is necessary for performance of a contract between the	No	N/A	Payroll	To fulfill employment contract	No	N/A
34 records) Unpaid/Compassionate leave	Relevant Employees	Employee	To record, monitor, plan for and respond to absences	University and the employee (Article 6(1)(b)) Processing is necessary for performance of a contract between the University and the employee (Article 6(1)(b))	Yes	Processing is necessary for carrying out obligations or exercising rights or obligations in employment or social security/protection as authorised by UK laws (Article 9(2)(b)); the University also has obligations to maintain records of sick pay		To fulfill employment contract	No	N/A
Maternity/Paternity leave information	Relevant Employees	Employee	To record, monitor, plan for and respond to absences	Processing is necessary for performance of a contract between the University and the employee (Article $6(1)[b]$ )	Yes	Processing is necessary for carrying out obligations or exercising rights or obligations in employment or social security/protection as authorised by UK laws (Article 9(2)(b)); the University also has obligations to maintain records of sick paw	Payroll	To fulfill employment contract	No	N/A
Sickness absence, doctors notes, self-certification forms	Employees	Employee	To comply with obligations as an employer in the management of employees suffering ill health, to monitor reasons for absences, to consider relevant Health and Safety issues arising and to assist in scheduling of employee time		Yes	Processing is necessary for carrying out obligations or exercising rights or obligations in employment or social security/protection as authorised by UK laws (Article 9(2)9b))	Doctors notes are shared with the HR department for their records	N/A	No	No
Accident reports	Relevant Employees	Employee/Health and Safety Officer		University and the employee (Article 6(1)9b)) Necessary for compliance with a legal obligation (Article 6(1)c) - employment law, health and safety obligations	Yes	Processing is necessary for carrying out obligations or exercising rights or obligations in employment or social security/protection as authorised by UK laws (Article 9(2)9b))	N/A	N/A	No	N/A
Salary sacrifice scheme records 39	Relevant Employees	Employee	To record salary sacrific request	Processing is necessary for performance of a contract between the University and the employee (Article 6(1)(b))	No	N/A	Payroll	To fulfill employment contract	No	N/A
Certificates of sponsorship and VISA	Staff outside the EU	Employee	To comply with immigration legislation		Yes	Processing is necessary for carrying out obligations or exercising rights or obligations in employment or social security/protection as authorised by UK laws (Article 9(2)9b))	N/A	N/A	No	N/A
Staff case work	All staff	Employee, line manager, Head of	To record the investigation of the matter and record outcomes	Necessary for the performance of the contract between the	Yes	Explicit consent	May be shared with legal advisers,	To provide the University with	No	N/A
References that the University provides	All staff		To provide a reference for current employees to future employers, mortage companies, lenders etc	University and the employee (Article 6(1)9b)! Processing is necessary for the purposes of the legitimate interests of the University and other individuals, except where overriden by data protection rights and freedoms (Article 6(1)ff). The University has a legitimate interest when receiving a reference request made on behalf of the data subject to process that request.	No	N/A	internal and external requestor	legal advice Requested on behalf of employee	No	Only transferred to another country if the employee is seeking employment there
Leavers survey	Relevant Employees	Employee	To understand the reasons the employees leave, to identify trends and issues, and to enable the University to make improvements going floward. Where employees contract have been terminated we keep records to ensure we can response appropriately to any ongoing queries.	Processing is necessary for the purposes of the legitimate interests of the University and other individuals, except where overriden by data protection rights and freedom (Entirie G1[H]). The University and other individuals employed by the University have a legitimate interest an undestanding the reasons the employees leave. The University yalso has a legitimate interest in holding appropriate records relating to openinally contentions decisions.	Yes	Explicit consent (Article 9(2)(a))		Only anonymous statistical data is shared internally	No	N/A
Minutes and notes of various meetings and groups (will record an individuals attendance and in some cases opinion)	Relevant Employees	Secretary of committee/group	To record internal discussion	Processing is necessary for the purposes of the legitimate interests of the University and other individuals, except where overriden by data protection rights and freedoms (Article 6(1)(f)). The University has a legitimate interest to make a record of its meetings	No	N/A	Internally. Unconfidential minutes of the major Boards and committees are subject to FOI requests. Minutes are also shared with external auditors where relevant			N/A
45 identified or can be easily identified) 46	Employee	Employee	For promotional material, press releases, staff notice boards, website	Explicit consent (Article 6(1)(a)	No	N/A	On the internet	For publicity	Yes	All when on the internet - employee to be made aware
47 Finance Records Payroll	Employee	Employee/University	In order to pay the employee	Necessary for the performance of the contract between the University and the employee (Article 6(1)9b)) Necessary for compliance with a legal obligation (Article 6(1)c) - employment law and PAYE	No	N/A	HMRC	To comply with PAYE	No	N/A
P45 49 50	Staff leaving	Payroll	To confirm the employee's earnings at the end of their employment		No	N/A	HMRC	To provide HMRC with notification of change of employment	No	N/A
51 Training Records	All ->-#	Faralana	T	Name of the second seco		N/A				
52	All staff	Employees	-	Necessary for the performance of the contract between the University and the employee (Article 6(1)9b))	NO	,				
53	All staff	Employees	To enable the training provision and record what training staff have undertaken	Necessary for the performance of the contract between the University and the employee (Article 6(1)9b))	No	N/A				
Other staff training records	All staff	Employees/HR	To enable the training provision and record what training staff have undertaken		No	N/A	N/A	N/A	No	No
55 56	All staff	Employees/HR	To ensure that all staff attend the appropriate induction training		No	N/A	N/A	N/A	No	no
57 Records relating to event/conference attendance ar Conference attendance records	nd tavel Relevant staff	Employee/Dept Admin	To enable attendance at external events	Necessary for the performance of the contract between the	no	N/A	The conference organisers	To facilitate the attendance at	Yes	Dependent on whether the event is held
58 Overseas travel risk asessment data	Relevant staff			University and the employee (Article 6(1)9b))		N/A	N/A	the event N/A	No	overseas N/A
59			To allow a risk assessment to be made for insurance purposes	University and the employee (Article 6(1)9b))	no	n/A			INU	-
Passport data relating to overseas work related 60 travel	Relevant staff	Employee	To enable travel arrangements to be made	Necessary for the performance of the contract between the University and the employee (Article 6(1)9b))	no	N/A	Travel companies, airlines, in some cases conference organiser	To facilitate the attendance at the event	Yes	Various
Work related drivers questionnaire and database	Relevant staff	Employee	To ensure appropriate cover with University insurance and to allow employees to		No	N/A	Insurers	To ensure sufficient cover	No	N/A
Motor Accident Reports	Relevant staff	Employee/Police/Insurers	make expense claims Data held to manage any potential claims	Necessary for the performance of the contract between the	No	N/A	Insurers	To manage any claims	No	N/A
Data held on the expenses system  63	Relevant staff	Employee	To enable staff to be recompensed for expenses incurred during the course of their work	University and the employee (Article 6(1)9b)) Necessary for the performance of the contract between the University and the employee (Article 6(1)9b))	No	N/A	N/A	N/A	No	N/A

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4	ta in relation to field trips	Relevant staff	Employee	To enable the department to put the appropriate arrangements in place in relation to accommodation, travel, insurance and emergency contact details (please see specific entries above)	Necessary for the performance of the contract between the University and the employee (Article 6(1)9b))	No	N/A	N/A	N/A	No	N/A	
١.	cords in relation to use of University resources a											
7 (n	ote for staff using the University's gym, sports cent	tre and McClelland for nerso	onal reasons please see the appropriate	entries in the Visitors Privary Notice)								
88												
Ca 59	r Parking Permits	Employees	Employees	To manage car parking on the University's campus and to provide anonymous data on travel distances	Explicit Consent (Article 6(1)(a)	No	N/A	No	N/A	N/A	N/A	
	cess Control (arising from swipe cards)	Employees	Employee	To manage access to facilities	Processing is necessary for the purposes of the legitimate interests of the University and other individuals, except where overriden by data protection rights and freedoms (Article 6(1)(f)). The University has a legitimate interest to mananage access to its facilities		N/A	N/A	N/A	N/A	N/A	
70 71 Re	search											
72 RE	F planning documentation	Relevant Employees	Employee/Dept	To allow the University/department to plan their REF submission	Necessary for the performance of the contract between the University and the employee (Article 6(1)9b))	No	N/A	N/A	N/A	No	N/A	
Ap	plications for ethical approval and associated data	at Relevant Employees	Employee/Dept/Research Office	To allow the University to ensure that appropriate measures are in place		No	N/A	N/A	N/A	No	N/A	
74 Re	search Grants and Funding applications	Relevant Employees	Employee/Dept Admin/Research Office/Awarding body	To enable applications to be made and facilitate the awarded grants	University and the employee (Article 6(1)(b)) and the contract	No	N/A	The funding body	In order to facilitate the grant	Yes	Dependent on where the funder is located	
Re	search Project database	Relevant Employees	Employee/Research Office/Dept	To manage and monitor research projects	University and the employee (Article 6(1)9b)) and the contract	No	N/A	No	N/A	No	N/A	
	al History Project	Relevant and former Employees	Employee	To retain an oral history of the organisation	between the member of staff and the funder Explicit Consent (Article 6(1)(a))	Yes	Explicit Consent (Article 9(2)(a))	Researchers, historians	To share the University's history	No	N/A	
	nsions nsions - TPP	Relevant Employees	Employee/Pension Scheme	To faciliatate the staff member being a member of the pension scheme	University and the employee (Article 6(1)9b)) Necessary for compliance with a legal obligation (Article 6(1)c) - employment law	Yes	Article 9(2)(b)	Payroll; TPP	To facilitate the pension arrangements	No	No	
Pe	nsions - LGPS	Relevant Employees	Employee/Pension Scheme	To facilitate the staff member being a member of the pension scheme	University and the employee (Article 6(1)9b)) Necessary for compliance with a legal obligation (Article 6(1)c) - employment law	Yes	Article 9(2)(b)	Payroll; LGPS	To facilitate the pension arrangements	No	No	
Pe	nsions - USS	Relevant Employees	Employee/Pension Scheme	To facilitate the staff member being a member of the pension scheme	and PAYE  Necessary for the performance of the contract between the  University and the employee (Article 6(1)9b)) Necessary for  compliance with a legal obligation (Article 6(1)c) - employment law and PAYE	Yes	Article 9(2)(b)	Payroll; USS	To facilitate the pension arrangements	No	No	