

Penguin Umbrella Limited

**EMPLOYEE, WORKER AND FREELANCE CONTRACTOR
DATA PROTECTION AND PRIVACY NOTICE**

JULY 2019

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1. WHAT IS THE PURPOSE OF THIS DOCUMENT?

1.1 Key points:

- (a) **Penguin Umbrella Limited is committed to protecting the privacy and security of your personal information.**
- (b) **This privacy notice describes how we collect and use personal information about you during and after your working relationship with us, in accordance with the General Data Protection Regulation (GDPR).**
- (c) **It applies to all employees, workers and freelance contractors, and in part to interns and volunteers..**

1.2 In more detail:

- (a) Penguin Umbrella Limited is a “data controller”. This means that we are responsible for deciding how we hold and use personal information about you. We are required under data protection legislation to notify you of the information contained in this privacy notice.
- (b) This notice applies to current and former employees, workers and freelance contractors. It will also apply to interns and volunteers, to the extent that data of the types described in this notice is actually processed by Penguin Umbrella in relation to such individuals.
- (c) This notice does not form part of any contract of employment or other contract between us. We may update this notice at any time, but if we do so, we will provide you with an updated copy of this notice as soon as reasonably practicable.
- (d) It is important that you read and retain this notice, together with any other privacy notice we may provide on specific occasions when we are collecting or processing personal information about you, so that you are aware of how and why we are using such information and what your rights are under the data protection legislation.

2. DATA PROTECTION PRINCIPLES

2.1 We will comply with data protection law. This says that the personal information we hold about you must be:

- (a) Used lawfully, fairly and in a transparent way.
- (b) Collected only for valid purposes that we have clearly explained to you and not used in any way that is incompatible with those purposes.
- (c) Relevant to the purposes we have told you about and limited only to those purposes.
- (d) Accurate and kept up to date.

- (e) Kept only as long as necessary for the purposes we have told you about.
- (f) Kept securely.

3. THE KIND OF INFORMATION WE HOLD ABOUT YOU

3.1 Key points:

- (a) **Personal data, or personal information, means any information about an individual from which that person can be identified. It does not include data where the identity has been removed (anonymous data).**
- (b) **There are “special categories” of more sensitive personal data which require a higher level of protection, such as information about a person’s health or sexual orientation.**

3.2 In more detail:

- (a) We may collect, store, and use the following categories of personal information about you:
 - (i) Personal contact details such as name, title, addresses, telephone numbers, and personal email addresses.
 - (ii) Date of birth.
 - (iii) Gender.
 - (iv) Marital status and dependants.
 - (v) Next of kin and emergency contact information.
 - (vi) National Insurance number.
 - (vii) Bank account details, payroll records and tax status information.
 - (viii) Salary, annual leave, pension and benefits information.
 - (ix) Start date and, if different, the date of your continuous employment/engagement.
 - (x) Leaving date and your reason for leaving.
 - (xi) Location of employment or workplace.
 - (xii) Copy of driving license.
 - (xiii) Recruitment information (including copies of right to work documentation, references and other information included in a CV or cover letter or as part of the application process).
 - (xiv) Employment records (including job titles, work history, working hours, training records and professional memberships).
 - (xv) Compensation history.
 - (xvi) Performance information.
 - (xvii) Disciplinary and grievance information.

- (xviii) CCTV footage and other information obtained through electronic means such as swipecard records.
 - (xix) Information about your use of our information and communications systems.
 - (xx) Photographs.
 - (xxi) Passport, visa, 'right to work' documents, and/or sponsorship papers.
 - (xxii) Results of HMRC employment status check, details of your interest in and connection with any intermediary through which your services are supplied.
- (b) We may also collect, store and use the following "special categories" of more sensitive personal information:
- (i) Information about your race or ethnicity, religious beliefs, sexual orientation and political opinions.
 - (ii) Trade union membership.
 - (iii) Information about your health, including any medical condition, health and sickness records, including:
 - (A) where you leave employment and under any share plan operated by a group company the reason for leaving is determined to be ill-health, injury or disability, the records relating to that decision;
 - (B) details of any absences (other than holidays) from work including time on statutory parental leave and sick leave; and
 - (C) where you leave employment and the reason for leaving is related to your health, information about that condition needed for pensions and permanent health insurance purposes.
 - (iv) Genetic information and biometric data.
 - (v) Information about criminal convictions and offences.

4. HOW IS YOUR PERSONAL INFORMATION COLLECTED?

4.1 We collect personal information about employees, workers and contactors through the application and recruitment process, either directly from candidates or sometimes from an employment agency/business or umbrella company, from online sources (such as LinkedIn), from CV databases, or from a background check provider. We may sometimes collect additional information from third parties including former employers/engagers, referees, business partners, sub-contractors in technical, payment and delivery services, credit reference agencies or other background check agencies.

4.2 We may also collect personal information from the trustees or managers of pension arrangements operated by a group company.

4.3 We will collect additional personal information in the course of job-related activities throughout the period of you working for us.

5. HOW WE WILL USE INFORMATION ABOUT YOU

5.1 Key points:

(a) **We will only use your personal information when the law allows us to. Most commonly, we will use your personal information in the following circumstances:**

(i) **Where we need to perform the contract we have entered into with you, or to take steps to enter a contract with you or under which you will perform services.**

(ii) **Where we need to comply with a legal obligation.**

(iii) **Where it is necessary for our legitimate interests (or those of a third party) and your interests and fundamental rights do not override those interests.**

(iv) **Where we are legally permitted to do so and we have your informed or (in certain circumstances) explicit consent.**

(b) **We may also use your personal information in the following situations, which are likely to be rare:**

(i) **Where we need to protect your interests (or someone else's interests).**

(ii) **Where it is needed in the public interest or for official purposes.**

5.2 Situations in which we will use your personal information

(a) We need all the categories of information in the list above (see *The kind of information we hold about you*) primarily to allow us to perform our contract with you and to enable us to comply with legal obligations. In some cases we may use your personal information to pursue legitimate interests of our own or those of third parties, provided your interests and fundamental rights do not override those interests. The situations in which we will process your personal information are listed below.

(i) Making a decision about your recruitment or appointment or engagement.

(ii) Seeking, placing you in, and managing your assignments.

(iii) Determining the terms on which you work for us.

(iv) Checking you are legally entitled to work in the UK.

- (v) Paying you and, if you are an employee or deemed employee for tax purposes, or if we are otherwise legally required to do so, deducting tax and National Insurance contributions ('NICs').
- (vi) Providing benefits to you, including (where applicable):
 - (A) Inviting you to participate in any share plans operated by a group company.
 - (B) Granting awards under any share plans operated by a group company.
 - (C) Administering your participation in any share plans operated by a group company, including communicating with you about your participation and collecting any tax and NICs due on any share awards.
- (vii) Enrolling you in a pension arrangement in accordance with our statutory automatic enrolment duties.
- (viii) Liaising with the trustees or managers of a pension arrangement operated by a group company, your pension provider and any other provider of employee benefits.
- (ix) Administering the contract we have entered into with you.
- (x) Business operation, management, and planning, including accounting and auditing.
- (xi) Conducting performance reviews, managing performance and determining performance requirements.
- (xii) Making decisions about salary reviews and compensation.
- (xiii) Assessing qualifications for a particular job or task, including decisions about promotions.
- (xiv) Gathering evidence for possible grievance or disciplinary hearings.
- (xv) Making decisions about your continued employment or engagement.
- (xvi) Making arrangements for the termination of our working relationship.
- (xvii) Education, training and development requirements.
- (xviii) Dealing with legal disputes and insurance claims involving you, or other employees, workers and contractors, including accidents at work.
- (xix) Ascertaining your fitness to work.
- (xx) Managing sickness absence.
- (xxi) Complying with health and safety obligations.
- (xxii) To prevent fraud.

- (xxiii) To monitor your use of our information and communication systems to ensure compliance with our IT policies.
 - (xxiv) To ensure network and information security, including preventing unauthorised access to our computer and electronic communications systems and preventing malicious software distribution.
 - (xxv) To conduct data analytics studies to review and better understand employee retention and attrition rates.
 - (xxvi) To demonstrate our own compliance with legal obligations, to third parties who themselves have legitimate interests in satisfying themselves as to our compliance.
 - (xxvii) To manage and maintain any applicable insurance policies
 - (xxviii) Equal opportunities monitoring.
- (b) Some of the above grounds for processing will overlap and there may be several grounds which justify our use of your personal information.

5.3 If you fail to provide personal information

- (a) If you fail to provide certain information when requested, we may not be able to perform the contract we have entered into with you (such as paying you or providing a benefit), or we may be prevented from complying with our legal obligations (such as to ensure the health and safety of our workers).

5.4 Change of purpose

- (a) We will only use your personal information for the purposes for which we collected it, unless we reasonably consider that we need to use it for another reason and that reason is compatible with the original purpose. If we need to use your personal information for an unrelated purpose, we will notify you and we will explain the legal basis which allows us to do so.
- (b) Please note that we may process your personal information without your knowledge or consent, in compliance with the above rules, where this is required or permitted by law.

6. HOW WE USE PARTICULARLY SENSITIVE PERSONAL INFORMATION

6.1 Key points:

- (a) **“Special categories” of particularly sensitive personal information require higher levels of protection. We need to have further justification for collecting, storing and using this type of personal information. We may process special categories of personal information in the following circumstances:**
 - (i) **In limited circumstances, with your explicit written consent.**

- (ii) **Where we need to carry out our legal obligations and in line with our data protection policy.**
 - (iii) **Where it is needed in the public interest, such as for equal opportunities monitoring or in relation to our occupational pension scheme, and in line with our data protection policy.**
 - (iv) **Where it is needed to assess your working capacity on health grounds, subject to appropriate confidentiality safeguards.**
- (b) **Less commonly, we may process this type of information where it is needed in relation to legal claims or where it is needed to protect your interests (or someone else's interests) and you are not capable of giving your consent, or where you have already made the information public. We may also process such information about employees, workers and contactors or former employees, workers and contactors in the course of legitimate business activities with the appropriate safeguards.**

6.2 Our obligations:

- (a) We may be required to use your particularly sensitive personal information in the following ways:
 - (i) We may use information relating to leaves of absence, which may include sickness absence or family related leaves, to comply with employment and other laws.
 - (ii) We may use information about your physical or mental health, or disability status, to ensure your health and safety in the workplace and to assess your fitness to work, to provide appropriate workplace adjustments, to monitor and manage sickness absence and to administer benefits, including statutory maternity pay, statutory sick pay, pensions and permanent health insurance.
 - (iii) If you are employed and if you leave employment, and under any share plan operated by a group company the reason for leaving is determined to be ill-health, injury or disability, we will use information about your physical or mental health, or disability status in reaching a decision about your entitlements under the share plan.
 - (iv) If you apply for an ill-health pension under a pension arrangement operated by a group company, we will use information about your physical or mental health in reaching a decision about your entitlement.
 - (v) We may use information about your race or national or ethnic origin, religious, philosophical or moral beliefs, or your sexual life or sexual orientation, to ensure meaningful equal opportunity monitoring and reporting.

- (vi) We may use trade union membership information to pay trade union premiums, register the status of a protected employee and to comply with employment law obligations.¹

6.3 Do we need your consent?

- (a) We do not need your consent if we use special categories of your personal information in accordance with our written policy to carry out our legal obligations or exercise specific rights in the field of employment law. In limited circumstances, we may approach you for your written consent to allow us to process certain particularly sensitive data. If we do so, we will provide you with full details of the information that we would like and the reason we need it, so that you can carefully consider whether you wish to consent. You should be aware that it is not a condition of your contract with us that you agree to any request for consent from us.

7. INFORMATION ABOUT CRIMINAL CONVICTIONS

7.1 Key points:

- (a) **We may only use information relating to criminal convictions where the law allows us to do so. This will usually be where such processing is necessary to carry out our obligations and provided we do so in line with our data protection policy.**
- (b) **Less commonly, we may use information relating to criminal convictions where it is necessary in relation to legal claims, where it is necessary to protect your interests (or someone else's interests) and you are not capable of giving your consent, or where you have already made the information public.**
- (c) **We may also process such information about employees, workers and contactors or former employees, workers and contactors in the course of legitimate business activities with the appropriate safeguards.**

7.2 In more detail:

- (a) We envisage that we may hold information about criminal convictions.
- (b) We will only collect information about criminal convictions if it is appropriate given the nature of the role and where we are legally able to do so. Where appropriate, we will collect information about criminal convictions as part of the recruitment process or we may be notified of such information directly by you in the course of you working for us. We will use information about criminal convictions and offences in the following ways:
 - (i) To ensure you are suitable for assignments for which you are considered.

- (c) We are allowed to use your personal information in this way to carry out our obligations as the employer. We have in place an appropriate policy and safeguards which we are required by law to maintain when processing such data.

8. AUTOMATED DECISION-MAKING

8.1 Key points:

- (a) **Automated decision-making takes place when an electronic system uses personal information to make a decision without human intervention. We are allowed to use automated decision-making in the following circumstances:**
 - (i) **Where we have notified you of the decision and given you 21 days to request a reconsideration.**
 - (ii) **Where it is necessary to perform the contract with you and appropriate measures are in place to safeguard your rights.**
 - (iii) **In limited circumstances, with your explicit written consent and where appropriate measures are in place to safeguard your rights.**
 - (iv) **If we make an automated decision on the basis of any particularly sensitive personal information, we must have either your explicit written consent or it must be justified in the public interest, and we must also put in place appropriate measures to safeguard your rights.**
- (b) **In more detail:**
 - (i) **You will not be subject to decisions that will have a significant impact on you based solely on automated decision-making, unless we have a lawful basis for doing so and we have notified you.**
 - (ii) **We do not envisage that any decisions will be taken about you using automated means, however we will notify you in writing if this position changes.**

9. DATA SHARING

9.1 Key points:

- (a) **We may have to share your data with third parties, including third-party service providers and other entities in the group.**
- (b) **We require third parties to respect the security of your data and to treat it in accordance with the law.**
- (c) **We may transfer your personal information outside the EU.**
- (d) **If we do, you can expect a similar degree of protection in respect of your personal information.**

- 9.2 Why might you share my personal information with third parties?
- (a) We may share your personal information with third parties
 - (i) where required by law,
 - (ii) to seek, place you in, or manage your assignments,
 - (iii) where it is necessary to administer the working relationship with you,
 - (iv) to demonstrate our own compliance with legal obligations, to third parties who themselves have legitimate interests in satisfying themselves as to our compliance,
 - (v) to manage and maintain any applicable insurance policies,
 - (vi) where we have your informed consent. or
 - (vii) where we have another legitimate interest in doing so.
- 9.3 Which third-party service providers process my personal information?
- (a) "Third parties" includes third-party service providers (including contractors and designated agents) and other entities within our group. The following activities are carried out by third-party service providers: [payroll, pension administration, benefits provision and administration, IT services].²
 - (b) We will share personal data relating to your participation in any share plans operated by a group company with third party administrators, nominees, registrars and trustees for the purposes of administering the share plans. The following third party service providers process personal data about you for this purpose: Solutio (Payroll platform), DNS (Payroll support), Metro Bank (Bank partner) , Kingsbridge (Insurance), Smart Pension (Workplace Pension scheme), Professional Passport (Industry Body) , Ghost Enterprises (IT),
 - (c) We will share personal data regarding your participation in any pension arrangement operated by a group company with the trustees or scheme managers of the arrangement in connection with the administration of the arrangements.
- 9.4 How secure is my information with third-party service providers and other entities in our group?
- (a) All our third-party service providers and other entities in the group are required to take appropriate security measures to protect your personal information in line with our policies. We do not allow our third-party service providers to use your personal data for their own purposes. We only permit them to process your personal data for specified purposes and in accordance with our instructions.

]

- 9.5 When might you share my personal information with other entities in the group?
- (a) We will share your personal information with other entities in our group as part of our regular reporting activities on company performance, in the context of a business reorganisation or group restructuring exercise, for system maintenance support and hosting of data. [We will share personal data relating to your participation in any share plans and pension arrangements operated by a group company with other entities in the group for the purposes of administering the share plans..

9.6 What about other third parties?

- (a) Whilst you remain employed by us, your National Insurance Number ('NINo') will be held in a database operated by Professional Passport Limited ('Professional Passport'), as our data processor. ³
 - (i) Agencies and others authorised by Professional Passport who know your NINo may search that database, in order to confirm the fact of your employment by us. This provides an additional means by which we can demonstrate to those we contract with that we comply with our own legal obligations, on an ongoing basis.
 - (ii) We are obliged to participate in and contribute to this database, as a condition of our Professional Passport Approved Provider status. Professional Passport Approved Provider status demonstrates our compliance with legal obligations and the Professional Passport standards, with the result that a greater number of agencies and others are willing to deal with us, and so we are able to further and develop our business. Maintaining our Professional Passport Approved Provider status is therefore a legitimate interest of ours.
- (b) We may share your personal information with other third parties, for example in the context of the possible sale or restructuring of the business. In this situation we will, so far as possible, share anonymised data with the other parties before the transaction completes. Once the transaction is completed, we will share your personal data with the other parties if and to the extent required under the terms of the transaction.
- (c) We may also need to share your personal information with a regulator or to otherwise comply with the law. This may include making returns to HMRC, disclosures to stock exchange regulators (including a Regulatory News Service) and disclosures to shareholders such as directors' remuneration reporting requirements.

9.7 Transferring information outside the EU

- (a) We may transfer the personal information we collect about you to the following [country **OR** countries] outside the EU [LIST] in order to perform

³ Section 9.6(a) should be removed by those who are NOT Professional Passport Approved Providers

our contract with you. There [is **OR** is not] an adequacy decision by the European Commission in respect of [that **OR** those] [country **OR** countries]. This means that the [country **OR** countries] to which we transfer your data are [deemed **OR** not deemed] to provide an adequate level of protection for your personal information.

- (b) However, to ensure that your personal information does receive an adequate level of protection we have put in place the following appropriate measure[s] to ensure that your personal information is treated by those third parties in a way that is consistent with and which respects the EU and UK laws on data protection: If you require further information about [this **OR** these] protective measure[s], [you can request it from the Data Compliance Manager **OR** it is available www.penguinpayonline.co.uk
- (c) With your explicit consent (for example in connection with a specific application for work), we may also transfer personal information we collect about you to other countries outside the EU, regardless of the possible risks of such transfer for you due to the absence of an adequacy decision and appropriate safeguards.

10. DATA SECURITY

10.1 Key points:

- (a) **We have put in place measures to protect the security of your information. Details of these measures are available upon request.**
- (b) **Third parties will only process your personal information on our instructions and where they have agreed to treat the information confidentially and to keep it secure.**

10.2 In more detail:

- (a) We have put in place appropriate security measures to prevent your personal information from being accidentally lost, used or accessed in an unauthorised way, altered or disclosed. In addition, we limit access to your personal information to those employees, agents, contractors and other third parties who have a business need to know. They will only process your personal information on our instructions and they are subject to a duty of confidentiality. Details of these measures may be obtained from the Data Compliance Manager .
- (b) We have put in place procedures to deal with any suspected data security breach and will notify you and any applicable regulator of a suspected breach where we are legally required to do so.

11. DATA RETENTION

11.1 How long will you use my information for?

- (a) We will only retain your personal information for as long as necessary to fulfil the purposes we collected it for, including for the purposes of satisfying any legal, accounting, or reporting requirements. To determine the appropriate retention period for personal data, we consider the amount, nature, and sensitivity of the personal data, the potential risk of harm from unauthorised use or disclosure of your personal data, the purposes for which we process your personal data and whether we can achieve those purposes through other means, and the applicable legal requirements. Where we may be considered to be an employment business, we are required by law to retain candidates' personal data for at least one year after we last provided services to them.
- (b) In some circumstances we may anonymise your personal information so that it can no longer be associated with you, in which case we may use such information without further notice to you. Once you are no longer an employee, worker or contractor of the company we will retain and in due course securely destroy your personal information in accordance with [our data retention policy **OR** applicable laws and regulations.

12. RIGHTS OF ACCESS, CORRECTION, ERASURE, AND RESTRICTION

12.1 Your duty to inform us of changes

- (a) It is important that the personal information we hold about you is accurate and current. Please keep us informed if your personal information changes during your working relationship with us.

12.2 Your rights in connection with personal information

- (a) Under certain circumstances, by law you have the right to:
 - (i) **Request access** to your personal information (commonly known as a "data subject access request"). This enables you to receive a copy of the personal information we hold about you and to check that we are lawfully processing it.
 - (ii) **Request correction** of the personal information that we hold about you. This enables you to have any incomplete or inaccurate information we hold about you corrected.
 - (iii) **Request the erasure** of your personal information. This enables you to ask us to delete or remove personal information where there is no good reason for us continuing to process it. You also have the right to ask us to delete or remove your personal information where you have exercised your right to object to processing (see below).
 - (iv) **Object to processing** of your personal information where we are relying on a legitimate interest (or those of a third party) and there is something about your particular situation which makes you want to object to processing on this ground. You also have the right to

object where we are processing your personal information for direct marketing purposes.

(v) **Request the restriction** of processing of your personal information. This enables you to ask us to suspend the processing of personal information about you, for example if you want us to establish its accuracy or the reason for processing it.

(vi) **Request the transfer** of your personal information to another party.

(b) If you want to review, verify, correct or request erasure of your personal information, object to the processing of your personal data, or request that we transfer a copy of your personal information to another party, please contact the Data Compliance Manager in writing.

12.3 No fee usually required

(a) You will not have to pay a fee to access your personal information (or to exercise any of the other rights). However, we may charge a reasonable fee if your request for access is clearly unfounded or excessive. Alternatively, we may refuse to comply with the request in such circumstances.

12.4 What we may need from you

(a) We may need to request specific information from you to help us confirm your identity and ensure your right to access the information (or to exercise any of your other rights). This is another appropriate security measure to ensure that personal information is not disclosed to any person who has no right to receive it.

13. RIGHT TO WITHDRAW CONSENT

13.1 In the limited circumstances where you may have provided your consent to the collection, processing and transfer of your personal information for a specific purpose, you have the right to withdraw your consent for that specific processing at any time. To withdraw your consent, please contact the Data Compliance Manager. Once we have received notification that you have withdrawn your consent, we will no longer process your information for the purpose or purposes you originally agreed to, unless we have another legitimate basis for doing so in law.

14. DATA PROTECTION OFFICER

14.1 We have appointed a Data Compliance Manager to oversee compliance with this privacy notice. If you have any questions about this privacy notice or how we handle your personal information, please contact the Data Compliance Manager. You have the right to make a complaint at any time to the Information Commissioner's Office (ICO), the UK supervisory authority for data protection issues.

14.2

15. CHANGES TO THIS PRIVACY NOTICE

- 15.1 This privacy notice is not contractual; we reserve the right to update this privacy notice at any time, and we will provide you with a new privacy notice when we make any substantial updates. We may also notify you in other ways from time to time about the processing of your personal information.

If you have any questions about this privacy notice, please contact the Data Compliance Manager : **Anna Read**