



# GENERAL DATA PROTECTION REGULATION

## RECORDS MANAGEMENT POLICY STATEMENT

The Firm recognises that by efficiently managing its records and those relating to clients, it will be able to comply with its legal and regulatory obligations and to contribute to the effective overall management of the Firm. Records provide evidence for protecting the legal rights and interests of the Firm, its employees and clients, and provide evidence for demonstrating accountability and performance. This document provides the policy framework through which this effective management can be achieved and audited. It covers:

- Scope
- Responsibilities
- Relationships with existing documents and policies.

### 1. Scope of the policy

- 1.1 This policy applies to all records created, received or maintained by staff at the Firm in the course of carrying out their functions.
- 1.2 Records are defined as all those documents which facilitate the business carried out by the Firm and which are thereafter retained (for a set period) to provide evidence of those transactions and activities. These records may be created, received or maintained in hard copy or electronically.
- 1.3 A small percentage of the records may be selected for permanent preservation as part of the Firm's archives or for historical research of clients.

### 2. Responsibilities

- 2.1 The Firm has a corporate responsibility to maintain its records and record keeping systems in accordance with the regulatory environment. The person with overall responsibility for this policy is the Managing Partner.
- 2.2 Each Office Manager is responsible for records management and will give guidance for good records management practice and will promote compliance with this policy. (See Appendix 1 – for details of set periods for retention)
- 2.3 Individual employees must ensure that records for which they are responsible are accurate, and are maintained and disposed of in accordance with the records management guidelines.
- 2.4 Any requests from other 3<sup>rd</sup> parties (Banks, Building Societies, Auditors etc) must be authorised by the client in writing prior to release of any documents/data.
- 2.5 The Firm operates a 'Shred-all' policy and a contractor has been engaged to collect and destroy all confidential waste. A 'Combined Certificate of Destruction and Waste Transfer Note' is issued for each collection which is retained by the Firm as evidence of destruction.

- 2.6 The Firm maintains a detailed list of the documents on file and the files are disposed of (see above for method) when time appropriate.
- 2.7 The Firm will ensure that all P.C's and Servers will be professionally destroyed and the data held on these devices will be professionally deleted.

### **3. Relationship with existing policies**

This policy has been drawn up within the context of:

- General Data Protection Regulations
- Mabe Allen – Data Protection Policy
- Mabe Allen – Shred-All Policy – Staff Handbook Section 4.4.2
- And with other legislation or regulations (including statutory, audit, equal opportunities and ethics) affecting the Firm
- Advice given by the professional bodies the Firm subscribes to.

## Appendix 1 – Set periods for document retention

<b>Document</b>	<b>Retention period</b>	<b>Reason for retention</b>
Client files	7 years	Companies Act/Charities Act & HMRC
Mabe Allen Accounts records	7 years	Companies Act/HMRC
<b>EMPLOYMENT</b>		
Client & Mabe Allen payroll files	7 years – where possible the hard copy payroll files are returned to the client at the end of each tax year and the electronic files are retained for a period of 7 years.	HMRC
Redundancy details, calculations of payments, refunds, notifications to the Secretary of State	6 years after the employment has ceased.	Data Protection Act
Life Assurance expression of wish forms	6 years after the employment has ceased or death.	Data Protection Act
Applications for jobs – where the candidate has been unsuccessful	6 months after notifying the unsuccessful candidate	Discrimination Acts 1975 & 1986 and the Race Relations Act 1976
Statutory maternity Pay records, calculations and other medical evidence	3 years after the end of the tax year in which the maternity period ends	The Statutory maternity pay Regulations
Sickness records	3 years after the end of each tax year for Statutory Sick pay purposes	Statutory Sick pay (General) Regulations.
<b>PENSIONS</b>		
Details of current pensioners	10 years after benefit ceases	
Pensions scheme – next of kin/expression of wish forms	6 years after date of death	Data Protection Act
Pension and contribution records	Permanently	Companies Act, Pensions Act 1995
<b>INSURANCE</b>		
Policies	3 years after lapse	Data Protection Act
Claims correspondence	3 years after settlement	Data Protection Act
Employers liability insurance certificate	40 years	Employers' liability (Compulsory insurance) Regulations 1998
Accident reports and relevant correspondence	3 years after settlement	Data Protection Act

