

# Patrick Muscat FIA, CPA

## Privacy Policy

### Context and overview

#### Key details

- Policy prepared by: Patrick Muscat.
- Approved on: 20<sup>th</sup> May 2018.
- Policy became operational on: 25<sup>th</sup> May 2018.

#### Introduction

**Patrick Muscat FIA, CPA** needs to gather and use certain information about individuals. These can include customers, suppliers, business contacts, employees and other people the organisation has a relationship with or may need to contact.

This policy describes how this personal data must be collected, handled and stored to meet the firm's data protection standards — and to comply with the law.

#### Why this policy exists

This data protection policy ensures **Patrick Muscat FIA, CPA**:

- Complies with data protection law and follow good practice
- Protects the rights of staff, customers and partners
- Is open about how it stores and processes individuals' data
- Protects itself from the risks of a data breach

#### General Data Protection Regulations

The GDPR describes how organisations — including **Patrick Muscat FIA, CPA**— must collect, handle and store personal information.

These rules apply regardless of whether data is stored electronically, on paper or on other materials.

To comply with the law, personal information must be collected and used fairly, stored safely and not disclosed unlawfully.

The Data Protection Act is underpinned by eight important principles. These say that personal data must:

1. Be processed fairly and lawfully
2. Be obtained only for specific, lawful purposes
3. Be adequate, relevant and not excessive
4. Be accurate and kept up to date
5. Not be held for any longer than necessary
6. Processed in accordance with the rights of data subjects
7. Be protected in appropriate ways
8. Not be transferred outside the European Economic Area (EEA), unless that country or territory also ensures an adequate level of protection

## People, risks and responsibilities

### Policy scope

This policy applies to:

- The head office of **Patrick Muscat FIA, CPA**
- All staff and volunteers of **Patrick Muscat FIA, CPA**
- All contractors, suppliers and other people working on behalf of **Patrick Muscat FIA, CPA**

It applies to all data that the firm holds relating to identifiable individuals, even if that information technically falls outside of the Data Protection Act 1998. This can include:

- Names of individuals
- Postal addresses
- Email addresses
- Telephone numbers
- ...plus any other information relating to individuals

### Data protection risks

This policy helps to protect **Patrick Muscat FIA, CPA** from some very real data security risks, including:

- Breaches of confidentiality. For instance, information being given out inappropriately.
- Failing to offer choice. For instance, all individuals should be free to choose

how the firm uses data relating to them.

- Reputational damage. For instance, the firm could suffer if hackers successfully gained access to sensitive data.

## Responsibilities

Everyone who works for or with **Patrick Muscat FIA, CPA** has some responsibility for ensuring data is collected, stored and handled appropriately. Each team that handles personal data must ensure that it is handled and processed in line with this policy and data protection principles.

However, these people have key areas of responsibility:

- The sole practitioner is ultimately responsible for ensuring that **Patrick Muscat FIA, CPA** meets its legal obligations.
- Patrick Muscat, is responsible for:
  - o Reviewing all data protection procedures and related policies, in line with an agreed schedule.
  - o Arranging data protection training and advice for the people covered by this policy.
  - o Handling data protection questions from staff and anyone else covered by this policy.
  - o Dealing with requests from individuals to see the data Patrick Muscat FIA, CPA holds about them (also called 'subject access requests').
  - o Checking and approving any contracts or agreements with third parties that may handle the firm's sensitive data.
- Patrick Muscat is responsible for:
  - o Ensuring all systems, services and equipment used for storing data meet acceptable security standards.
  - o Performing regular checks and scans to ensure security hardware and software is functioning properly.
  - o Evaluating any third-party services the firm is considering using to store or process data. For instance, cloud computing services.
- Patrick Muscat, is responsible for:
  - o Approving any data protection statements attached to communications such as emails and letters.
  - o Addressing any data protection queries from journalists or media outlets like newspapers.
  - o Where necessary, working with other staff to ensure marketing initiatives abide by data protection principles.

## General staff guidelines

- The only people able to access data covered by this policy should be those who need it for their work.
- Data should not be shared informally. When access to confidential information is required, employees can request it from their line managers.
- **Patrick Muscat FIA, CPA** will provide training to all employees to help them understand their responsibilities when handling data.
- Employees should keep all data secure, by taking sensible precautions and following the guidelines below.
- In particular, strong passwords must be used and they should never be shared.
- Personal data should not be disclosed to unauthorised people, either within the firm or externally.
- Data should be regularly reviewed and updated if it is found to be out of date. If no longer required, it should be deleted and disposed of.
- Employees should request help from their line manager or the data protection officer if they are unsure about any aspect of data protection.

## Data storage

These rules describe how and where data should be safely stored. Questions about storing data safely can be directed to the IT manager or data controller.

When data is stored on paper, it should be kept in a secure place where unauthorised people cannot see it.

These guidelines also apply to data that is usually stored electronically but has been printed out for some reason:

- When not required, the paper or files should be kept in a locked drawer or filing cabinet.
- Employees should make sure paper and printouts are not left where unauthorised people could see them, like on a printer.
- Data printouts should be shredded and disposed of securely when no longer required.

When data is stored electronically, it must be protected from unauthorised access, accidental deletion and malicious hacking attempts:

- Data should be protected by strong passwords that are changed regularly and never shared between employees.

- If data is stored on removable media (like a CD or DVD), these should be kept locked away securely when not being used.
- Data should only be stored on designated drives and servers, and should only be uploaded to an approved cloud computing services.
- Servers containing personal data should be sited in a secure location, away from general office space.
- Data should be backed up frequently. Those backups should be tested regularly, in line with the firm's standard backup procedures.
- Data should never be saved directly to laptops or other mobile devices like tablets or smart phones.
- All servers and computers containing data should be protected by approved security software and a firewall.

## Consent

Personal data held on the firm's server prior to 25<sup>th</sup> May 2018, the firm should obtain a written consent from the data subject before the aforesaid mentioned date by using 'Personal Data Protection Act Consent Form (Clients). The same form should be used in the case of new engagements.

Where the firm carries out payroll duties on behalf of the clients, a written consent from the employees of the client should be obtained using 'Personal Data Protection Act Consent Form (Client's Employee). Where such service was carried out before 25<sup>th</sup> May 2018, the same form should be signed by every employee of the clients by the aforesaid date in order for the service to be continued without interruption.

## Data use

Personal data is of no value to **Patrick Muscat FIA, CPA** unless the business can make use of it. However, it is when personal data is accessed and used that it can be at the greatest risk of loss, corruption or theft:

- When working with personal data, employees should ensure the screens of their computers are always locked when left unattended.
- Personal data should not be shared informally. In particular, it should never be sent by email, as this form of communication is not secure.
- Data must be encrypted before being transferred electronically. The IT manager can explain how to send data to authorised external contacts.
- Personal data should never be transferred outside of the European Economic Area.
- Employees should not save copies of personal data to their own computers.

Always access and update the central copy of any data.

## Data accuracy

The law requires **Patrick Muscat FIA, CPA** to take reasonable steps to ensure data is kept accurate and up to date.

The more important it is that the personal data is accurate, the greater the effort

**Patrick Muscat FIA, CPA** should put into ensuring its accuracy.

It is the responsibility of all employees who work with data to take reasonable steps to ensure it is kept as accurate and up to date as possible.

- Data will be held in as few places as necessary. Staff should not create any unnecessary additional data sets.
- Staff should take every opportunity to ensure data is updated. For instance, by confirming a customer's details when they call.
- **Patrick Muscat FIA, CPA** will make it easy for data subjects to update the information **Patrick Muscat FIA, CPA** holds about them.
- Data should be updated as inaccuracies are discovered. For instance, if a customer can no longer be reached on their stored telephone number, it should be removed from the database.
- It is the marketing manager's responsibility to ensure marketing databases are checked against industry suppression files every six months.

## Subject access requests

All individuals who are the subject of personal data held by **Patrick Muscat FIA, CPA** are entitled to:

- Ask what information the firm holds about them and why.
- Ask how to gain access to it.
- Be informed how to keep it up to date.
- Be informed how the firm is meeting its data protection obligations.

If an individual contacts the firm requesting this information, this is called a subject access request.

Subject access requests from individuals should be made by email, addressed to the data controller at [info@patrickmuscat.com](mailto:info@patrickmuscat.com). The data controller can supply a standard request form, although individuals do not have to use this.

The data controller will always verify the identity of anyone making a subject access request before handing over any information.

## Disclosing data for other reasons

In certain circumstances, the Data Protection Act allows personal data to be disclosed to law enforcement agencies without the consent of the data subject.

Under these circumstances, **Patrick Muscat FIA, CPA** will disclose requested data. However, the data controller will ensure the request is legitimate, seeking assistance from the sole practitioner and from the firm's legal adviser where necessary.

## Providing information

**Patrick Muscat FIA, CPA** aims to ensure that individuals are aware that their data is being processed, and that they understand:

- How the data is being used
- How to exercise their rights

To these ends, the firm has a privacy statement, setting out how data relating to individuals is used by the firm.

[This is available on request. A version of this statement is also available on the firm's website.]