

**Optimal Compliance
Privacy Notice**

Last updated: 25 May 2018

1. Scope

All data subjects whose personal data is collected, in line with the requirements of the GDPR.

2. Responsibilities

- 2.1 The Data Protection Officer (DPO) is responsible for ensuring that this notice is made available to data subjects prior to Optimal Compliance collecting/processing their personal data.
- 2.2 All team members of Optimal Compliance who interact with data subjects are responsible for ensuring that this notice is drawn to the data subject's attention and their consent to the processing of their data is secured.

3. Privacy notice
3.1 Who are we?

- 3.2 Optimal Compliance Services (London) LLP is a Limited Liability Partnership (registration number: OC397739) providing consultancy services to small businesses and individuals in the UK.

3.3 Our Data Protection Officer (DPO) can be contacted directly here:

- Ben Crampin, Partner
- Tel: 0203 326 0133
- Email: privacy@optimalcompliance.com

The personal data we would like to collect from and process on you is:

Personal data type:	Source (where Optimal Compliance obtained the personal data from if it has not been collected directly from you, the data subject. Note if the personal data has been accessed from publicly accessible sources):
Full names	Our client / your employer or partnership
Addresses and address history	Our client / your employer or partnership
Date of birth	Our client / your employer or partnership
Country of residence	Our client / your employer or partnership
NI number and UTR (tax reference)	Our client / your employer or partnership
Job title	Our client / your employer or partnership
Salary and employment terms	Our client / your employer or partnership
Contact details (email and phone)	Our client / your employer or partnership
Other income details (e.g. self employment, bank interest)	You

Other financial details (e.g. bank details, pension contributions)	You
Name	You – via our website form
Telephone	You – via our website form
Email address	You – via our website form
IP address	You – via our website form

The personal data we collect will be used for the following purposes:

- Drafting of agreements and forms relating to your engagement with your employer, your company or partnership/LLP;
- Preparation and submission of tax returns and related supporting documentation for you, your employer, your company or your partnership/LLP;
- Preparation and submission of financial statements (accounts) for you, your employer, your company or your partnership/LLP.
- Provision of ad-hoc services as requested by you.

Our legal basis for processing for the personal data:

- Legal obligation – your data will be used to complete documents that are required to be completed by law;
- Legitimate interest – we have a legitimate interest in using your data to fulfil the contractual obligations we have to you and to our clients.

We do not collect or hold any special categories of personal data.

3.4 **Consent**

By consenting to this privacy notice you are giving us permission to process your personal data specifically for the purposes identified. Consent is required for Optimal Compliance to process both types of personal data, but it must be explicitly given. Where we are asking you for sensitive personal data we will always tell you why and how the information will be used.

You may withdraw consent at any time by contacting the Data Protection Office, whose details are at clause 3.3 above.

3.5 **Disclosure**

The following third parties will receive your personal data for the following purpose(s) as part of the processing activities:

Organisation / territory	Safeguards in place to protect your personal data	Retrieve a copy of the safeguards in place here
Microsoft / US	Privacy Shield	https://privacy.microsoft.com/en-gb/privacystatement
Xero (UK) Limited	EC Standard Contractual Clauses Privacy Shield	https://www.xero.com/uk/about/terms/privacy/
HM Revenue and Customs	Government Organisation	https://www.gov.uk/help/privacy-policy https://www.gov.uk/government/organisations/hm-revenue-customs/about/personal-information-charter
Companies House	Government Organisation	https://www.gov.uk/government/organisations/companies-house/about/personal-information-charter

Easy Enrol Limited	Data Processing Agreement	To be provided
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3.6 Retention period

Optimal Compliance will process personal data until such time as we are no longer engaged to provide services to you, and will store the personal data for up to 20 years in order to facilitate the defence of any potential claim(s) or assessment(s) by HM Revenue and Customs under [Finance Act 1998 Sch 18 Para 46 \(2A\)](#).

3.7 Your rights as a data subject

At any point while we are in possession of or processing your personal data, you, the data subject, have the following rights:

- Right of access – you have the right to request a copy of the information that we hold about you.
- Right of rectification – you have a right to correct data that we hold about you that is inaccurate or incomplete.
- Right to be forgotten – in certain circumstances you can ask for the data we hold about you to be erased from our records.
- Right to restriction of processing – where certain conditions apply to have a right to restrict the processing.
- Right of portability – you have the right to have the data we hold about you transferred to another organisation.
- Right to object – you have the right to object to certain types of processing such as direct marketing.
- Right to object to automated processing, including profiling – you also have the right to be subject to the legal effects of automated processing or profiling.
- Right to judicial review: if Optimal Compliance refuses your request under rights of access, we will provide you with a reason as to why. You have the right to complain as outlined in clause 3.6 below.

All of the above requests will be forwarded on should there be a third party involved (as stated in 3.4 above) in the processing of your personal data.

3.8 Complaints

In the event that you wish to make a complaint about how your personal data is being processed by Optimal Compliance (or third parties as described in 3.4 above), or how your complaint has been handled, you have the right to lodge a complaint directly with the supervisory authority and Optimal Compliance’s data protection representatives Data Protection Officer (DPO).

The details for each of these contacts are:

	Supervisory authority	Data Protection Officer (DPO)
Contact Name	Information Commissioner’s Office	Ben Crampin
Address	Wycliffe House Water Lane Wilmslow Cheshire SK9 5AF	Optimal Compliance Mercury House 117 Waterloo Road London SE1 8UL
Email	casework@ico.org.uk	privacy@optimalcompliance.com
Telephone	0303 123 1113	0203 326 0133

3.9 **Privacy statement**

The following online privacy statement is available on our website here:

<https://optimalcompliance.com/privacy/>

4. **Online privacy statement**

Personal data

Under the EU's General Data Protection Regulation (GDPR) personal data is defined as:

"any information relating to an identified or identifiable natural person ('data subject'); an identifiable natural person is one who can be identified, directly or indirectly, in particular by reference to an identifier such as a name, an identification number, location data, an online identifier or to one or more factors specific to the physical, physiological, genetic, mental, economic, cultural or social identity of that natural person".

How we use your information

This privacy notice tells you how we, Optimal Compliance, will collect and use your personal data to provide services to you and your employer, company or partnership/LLP.

Why does Optimal Compliance need to collect and store personal data?

In order for us to provide you with our services we need to collect personal data to provide those services. In any event, we are committed to ensuring that the information we collect and use is appropriate for this purpose, and does not constitute an invasion of your privacy. In terms of being contacted for marketing purposes Optimal Compliance would contact you for additional consent.

Will Optimal Compliance share my personal data with anyone else?

We may pass your personal data on to third-party service providers contracted to Optimal Compliance in the course of dealing with you. Any third parties that we may share your data with are obliged to keep your details securely, and to use them only to fulfil the service they provide you on our behalf. When they no longer need your data to fulfil this service, they will dispose of the details in line with Optimal Compliance's procedures. If we wish to pass your sensitive personal data onto a third party we will only do so once we have obtained your consent, unless we are legally required to do otherwise.

How will Optimal Compliance use the personal data it collects about me?

Optimal Compliance will process (collect, store and use) the information you provide in a manner compatible with the EU's General Data Protection Regulation (GDPR). We will endeavour to keep your information accurate and up to date, and not keep it for longer than is necessary. Optimal Compliance is required to retain information in accordance with the law, such as information needed for income tax and audit purposes. How long certain kinds of personal data should be kept may also be

governed by specific business-sector requirements and agreed practices. Personal data may be held in addition to these periods depending on individual business needs.

Under what circumstances will Optimal Compliance contact me?

Our aim is not to be intrusive, and we undertake not to ask irrelevant or unnecessary questions. Moreover, the information you provide will be subject to rigorous measures and procedures to minimise the risk of unauthorised access or disclosure.

Can I find out the personal data that the organisation holds about me?

Optimal Compliance at your request, can confirm what information we hold about you and how it is processed. If Optimal Compliance does hold personal data about you, you can request the following information:

- Identity and the contact details of the person or organisation that has determined how and why to process your data. In some cases, this will be a representative in the EU.
- Contact details of the data protection officer, where applicable.
- The purpose of the processing as well as the legal basis for processing.
- If the processing is based on the legitimate interests of Optimal Compliance or a third party, information about those interests.
- The categories of personal data collected, stored and processed.
- Recipient(s) or categories of recipients that the data is/will be disclosed to.
- If we intend to transfer the personal data to a third country or international organisation, information about how we ensure this is done securely. The EU has approved sending personal data to some countries because they meet a minimum standard of data protection. In other cases, we will ensure there are specific measures in place to secure your information.
- How long the data will be stored.
- Details of your rights to correct, erase, restrict or object to such processing.
- Information about your right to withdraw consent at any time.
- How to lodge a complaint with the supervisory authority.
- Whether the provision of personal data is a statutory or contractual requirement, or a requirement necessary to enter into a contract, as well as whether you are obliged to provide the personal data and the possible consequences of failing to provide such data.
- The source of personal data if it wasn't collected directly from you.
- Any details and information of automated decision making, such as profiling, and any meaningful information about the logic involved, as well as the significance and expected consequences of such processing.

What forms of ID will I need to provide in order to access this?

Optimal Compliance accepts the following forms of ID when information on your personal data is requested: passport, driving licence, birth certificate, utility bill (from last 3 months), bank statement.

Contact details of the Data Protection Officer (DPO):

	Data Protection Officer (DPO) contact details
Contact Name	Ben Crampin
Address	Optimal Compliance Mercury House 117 Waterloo Road London SE1 8UL
Email	privacy@optimalcompliance.com
Telephone	0203 326 0133

Document Owner and Approval

The Data Protection Officer (DPO) is the owner of this document and is responsible for ensuring that this record is reviewed in line with the review requirements of the GDPR.

A current version of this document is available to all members of staff electronically.

Change History Record

Issue	Description of Change	Approval	Date of Issue
1	Initial issue	BC	25/05/2018