



## TJ HALL LTD. and TJ HALL ELECTRICAL SERVICES LTD.

### DOCUMENT MANAGEMENT POLICY & PROCEDURES.

#### 1. PURPOSE

The purpose of this policy is to assist TJ Hall Ltd. (TJH) & TJ Hall Electrical Services Ltd. (TJHES) in managing all documents produced in the operation of the company. It will provide a clear and comprehensive understanding of which documents contain confidential information, and how to manage, store and securely destroy them. In addition, which documents are legislated to be retained for requisite periods of time and the procedures governing their maintenance.

TJH & TJHES will ensure that our employees:

- Retain important documents for reference and future use;
- Dispose of documents that are no longer necessary for the proper functioning of the Company through secure destruction and recycling in 'Shred-it' containers
- Deliver obsolete Electronic Storage Devices to IT for secure destruction
- Organise important documents for efficient retrieval;
- Know what documents should be retained, the length of their retention, means of storage, and when and how they should be destroyed;
- Comply with laws regarding the retention of records and data
- Ensure information will be available for legal investigations or actions as required.

Implementation of and compliance with the policy is essential to its effectiveness. Incomplete or selective implementation exposes TJH & TJHES to legal risks. Therefore, each employee must understand and cooperate in the implementation and enforcement of the Policy.

**Policy Administration** - should any questions, comments or suggestion arise regarding this policy please contact Nigel Bryan.

#### 2. SCOPE

This policy will apply to all Printed and Electronic Documents, Confidential Information, and General Business Information (as defined in **Section 4.** below) belonging to TJH & TJHES or to which TJH & TJHES is a party or signatory.

#### 3. RESPONSIBILITIES

**Senior management** is responsible for ensuring that this policy is followed at all Company locations. One member of senior management is appointed as the "Document Control





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Administrator” with responsibilities outlined below. Other members of senior management are responsible for applying this policy within their areas of responsibility.

The role of **Document Control Administrator** (“DCA”) is currently assigned to Karon Hunt (MD & Accounts) and Nigel Bryan (Contracts). The DCA’s will advise and direct the implementation of this Policy, including ensuring all employees are aware and have an understanding on how to comply.

**Employees** – All TJH & TJHES employees are responsible for complying with this policy.

#### 4. DEFINITIONS

**4.1 Documents and Records** - refer to all business records of TJH & TJHES, including written, printed, as well as electronic records (i.e. e-mails and documents saved electronically). Documents and records include but are not limited to papers, copies, drafts, bound records, drawings, maps, photographs, electronic communications, and any other physical device containing information, including Electronic Storage Devices. The term includes any and all copies or originals taken, moved or sent off any TJH & TJHES premises and within TJH & TJHES control.

**4.2 Confidential Information** – all information that is produced in the course of TJH & TJHES business that is not available from public sources is considered confidential. In general, any or all documents or files that contain business, client, partner or employee names, pricing, personal information. This also includes private information on individuals as defined by the Data Protection Act (1998), as well as information that is available to our company as a result of our business practices, but which is not generally known or readily obtainable by others outside of our business but can be used in general throughout our business.

**4.3 General Business Information** – General business information documents including, but not limited to:





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Accounting documents	Corporate legal records
Information technology documents	Supplier purchase orders
General Contracts	Supplier records
Customer lists	Supplier specifications
Internal reports	Research and development reports
Payroll statements	Performance appraisals
Training information and manuals	Product testing and results
Executive level budgets	Product development plans
Customer correspondence	Sales and marketing reports
Legal contracts	Specifications and drawings
Strategic reports	Internal communications
Health and safety records	Advertising materials
Medical records	Business strategies
Payroll information	
Performance appraisals	

**4.4 Electronic Storage Device** - refers to any and all electronic storage devices that were provided by or contain information that is the property of TJH & TJHES, are under TJH & TJHES control, and are used by any of, its employees, contractors, officers or directors. Electronic Storage Devices include personal computers, servers, laptops and related storage devices such as hard drives, flash drives, and CDs.





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#### 5. STORAGE OF RECORDS and DOCUMENTS

**5.1 Tangible Records** – Tangible records that *do not* contain confidential information are those that can be physically moved to storage; such as paper records (including printed versions of electronically saved documents), photographs, investor presentations and promotional items etc. These active, tangible records and documents, that need to be easily accessible, may be stored in TJH & TJHES office space or equipment.

**5.2 Confidential Information** – Records and documents that contain Confidential Information but are in use are stored in the locked storage of the responsible individual accountable for them. Each employee has at least one lockable drawer/cabinet to store documents that should be kept off their desktop. All confidential information is kept out of view from unauthorised personnel and locked up when not in use.

**5.3 Inactive documents** – these records can be sent to an off-site storage facility. This off-site storage facility must be evaluated for security and reliability by Nigel Bryan, which is to be reviewed periodically by the DCA. However, we have no requirement for this at present.

**5.4 Legal and Financial Regulations** – Please note that in some jurisdictions and domains, human resource, legal, and financial documents may have specific rules and regulations governing their retention, distribution, storage and destruction. **See Appendix A.**

#### 6. DOCUMENT DESTRUCTION PROCEDURES

This section describes the process of document destruction for all types of information that is recorded by employees including **Confidential Information** and **General Business Information**.

At TJH & TJHES, our *Document Management* policy requires that all documents and all information deemed to be no longer needed, required, or retained are to be destroyed through the Shred-it secure recycling process. Specifically, this means that all printed documents, including **Confidential Information** and **General Business Information**, should be placed in a locked Shred-it container for destruction and secure recycling, when no longer required.





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We also require that all Electronic Storage Devices, that are no longer in use, be disposed of through secure Hard Drive Destruction. It is the Senior Managements responsibility to immediately dispose of obsolete hard drives and inform the DCA's.

**APPENDIX A: DOCUMENT RETENTION SCHEDULE**

Retention schedule list of documents that contain confidential information.

TYPE OF RECORD/SPECIFIC RECORD	RETENTION PERIOD
<b>Accounting Records:</b>	
Annual financial statements	6 years
Data for acquired/divested business	6 years
Monthly financial statements	6 years
General ledger	6 years
Annual audit records	6 years
Journal entries	6 years
Cancelled cheques	6 years
Paid invoices	6 years
Business expense records	6 years
Data for non-acquired/non-divested	6 years





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Accounts payable	6 years
Accounts receivable	6 years
Audit reports	6 years
Expense records	6 years
Loan documents	6 years
Purchase orders	6 years
Sales records	6 years
Bank reconciliations	6 years
<b>Tax Records:</b>	
PAYE records	6 years
VAT records	6 years
Corporation Tax records	6 years
Supporting documentation for taxes	6 years
<b>Purchasing and Sales:</b>	
Purchase Orders	6 years
Requisitions	6 years





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Sales Contracts	6 years
Sales Invoices	6 years
<b>Insurance Records:</b>	
Policies (including expired)	1 year
Claims for loss/damage,	6 years
Accident reports, appraisals	6 years
Settled Insurance Claims	6 years
<b>Legal and Workplace Records:</b>	
General Contracts	6 years
Premises contracts & records	6 years
<b>Personnel:</b>	
Attendance Records	Length of employment
Contracts	Length of employment
Benefits	Length of employment
Disability	Length of employment
Employment Applications	Destroyed if unsuccessful





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Performance Records – After Terminations	Destroyed
Personnel Files – Terminated	Destroyed
<b>Traffic - Shipping and Receiving:</b>	
Export Declarations	6 years
Freight Bills	6 years
Manifests	6 years
Shipping and receiving Reports	6 years
Waybills and bills of lading	6 years

Karon Hunt (MD & Financial) and Nigel Bryan (Contracts) are designated with the responsibility and authority to file, store, and/or archive the information outlined above.

***To be read in conjunction with 'Privacy Policy - 2018'***

