

PREDIKANTE PENSIOENFONDS VAN DIE NED. Geref. KERK IN SUID-AFRIKA

POPIA: Storage, Retention, Deletion of Documents/Records register

Description of record/document	Format (Physical/Electronic)	Classification	Security safeguard level	Retention period/ minimum number of years of retention	deletion/destruction method	Responsibility to delete/destroy	Contractual confirmation required (Y/N)	Date contract/addendum signed
1 Signed registered rules (including amendments)	Both	Public	N/A	Permanent	N/A	Not applicable	No	
2 Copies of signed and audited Annual Financial Statements submitted to FSCA	Both	Public	N/A	Permanent	N/A	Not applicable	No	
3 Signed and approved (by FSCA) Statutory Valuation Reports	Both	Public	N/A	Permanent	N/A	Not applicable	No	
4 Current PAIA Manual (published on Fund website)	Electronic	Public	N/A	Permanent	N/A	Not applicable	No	
5 Original signed Rules (including amendments)	Physical	Internal	Confidential	Permanent	N/A	Not applicable	No	
6 Original minute book containing signed minutes	Physical	Internal	Confidential	Permanent	N/A	Not applicable	No	
7 Signed Trustee Resolutions	Both	Internal	Confidential	Permanent	N/A	Not applicable	No	
8 Agendas of Board meetings held	Both	Internal	Confidential	7 years from date of meeting	Shred & Delete	Trustees and Consultant and any other recipient (e.g. administrator)	Yes	
9 Signed Minutes of Board meetings held	Electronic	Internal	Confidential	Permanent	N/A	Not applicable	No	
10 Confirmation of appointment of Principal Officer	Both	Internal	Confidential	7 years from date of appointment	Shred & Delete	Trustees/ Consultant/ Administrator	Yes	
11 Confirmation of Appointment of Statutory Valuator	Both	Internal	Confidential	7 years from date of appointment	Shred & Delete	Trustees/ Consultant/ Administrator	Yes	
12 Confirmation of Appointment of Auditor	Both	Internal	Confidential	7 years from date of appointment	Shred & Delete	Trustees/ Consultant/ Administrator	Yes	
13 Confirmation of employer appointed trustees	Both	Internal	Confidential	5 years from date of appointment	Shred & Delete	Trustees/ Consultant/ Administrator	Yes	
14 All voting communication for election of member trustees including completed nomination forms and ballot papers	Electronic	Internal	Confidential	5 years from date of election	Delete	Trustees/ Consultant/ Administrator	Yes	
15 Signed agreements with participating employer/s	Electronic	Internal	Confidential	10 years from date of agreement	Delete	Principal Officer/Consultant	Yes	
16 Completed and signed Trustee registers	Both	Personal Information	Confidential	3 years from date of completion	Shred & Delete	Principal Officer/Consultant	Yes	
17 Trustee FICA documents	Electronic	Personal Information	Confidential	12 months	Shred & Delete	Principal Officer/Consultant	Yes	
18 Administration and other process manuals	Electronic	Internal	Confidential	No time period continuously updated	N/A	Not applicable	No	
19 Signed governance policies (Code of Conduct, IPS etc), procedures, practice notes and registers	Both	Internal	Confidential	No time period continuously updated	N/A	Not applicable	No	
20 Correspondence with the Authority or any Regulatory body	Electronic	Internal	Confidential	5 years from date of correspondence	Delete	Principal Officer/Consultant	Yes	
21 Correspondence with participating employer/s	Electronic	Internal	Confidential	5 years from date of correspondence	Delete	Principal Officer/Consultant	Yes	
22 Correspondence with Trustees	Electronic	Internal	Confidential	5 years from date of correspondence	Delete	Principal Officer/Consultant	Yes	
23 Correspondence with Fund members/former Fund members	Both	Internal	Confidential	5 years from date of correspondence	Shred & Delete	Principal Officer/Administrator	Yes	
24 Correspondence with service providers	Electronic	Internal	Confidential	5 years from date of correspondence	Delete	Principal Officer	Yes	
25 Correspondence with insurers (fidelity cover)	Electronic	Internal	Confidential	5 years from date of correspondence	Delete	Principal Officer/Consultant	Yes	
26 Correspondence with insurer/s unapproved cover (where Fund has mandate to act obo participating employer/s)	Electronic	Internal	Confidential	5 years from date of correspondence	Delete	Principal Officer/Consultant	Yes	
27 General communication to Fund members	Both	Internal	Confidential	5 years from date of communication	Shred & Delete	Consultant/Administrator	Yes	
28 General communication to stakeholders	Electronic	Internal	Confidential	5 years from date of communication	Delete	Principal Officer/Consultant	Yes	
29 Service provider tender documents (request for proposals), responses and related correspondence	Electronic	Personal Information	Confidential	5 years from date of tender	Delete	Principal Officer/Consultant	Yes	
30 Signed services agreements/contracts with appointed service providers	Both	Personal Information	Confidential	earliest of 5 years from date of agreement or 12 months from date of termination of provider	Shred & Delete	Principal Officer/Consultant	Yes	
31 Signed policies with appointed asset managers	Both	Personal Information	Confidential	earliest of 5 years from date of agreement or 12 months from date of termination of provider	Shred & Delete	Principal Officer/Consultant	Yes	
32 Signed investment mandate and special investment instructions	Electronic	Internal	Confidential	12 months after mandate replaced	Delete	Consultant/Administrator	Yes	
33 Signed policies of insurance with registered insurers for approved and/or unapproved policies	Both	Personal Information	Confidential	earliest of 5 years from date of agreement or 12 months from date of termination of provider	Shred & Delete	Principal Officer/Consultant	Yes	

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34	Fidelity cover and professional indemnity policy	Electronic	Personal Information	Confidential	5 years from renewal date	Delete	Principal Officer/Consultant	Yes	
35	Documentation relating to the review of insurances on an annual basis as well as the quotations obtained from insurers to a rebroke exercise	Electronic	Personal Information	Confidential	5 years from renewal date	Delete	Principal Officer/Consultant	Yes	
36	Section 14 transfer applications and all attachments including agreements and schedules	Both	Personal Information	Confidential	10 years from date transfer finalised	Shred & Delete	Principal Officer/ Consultant/ Administrator	Yes	
37	Fixed asset register, investment certificates, title deeds, etc	Physical	Personal Information	Confidential	Permanent	N/A	Not applicable	No	
38	Financial statements working papers	Electronic	Internal	Confidential	10 years from date statements finalised	Delete	Administrator	Yes	
39	Fund valuation working papers/files etc	Electronic	Internal	Confidential	10 years from date of EFA	Delete	Appointed Valuator	Yes	
40	Enhanced Financial Assessment reports and working papers/files etc	Electronic	Internal	Confidential	5 years from date of EFA	Delete	Administrator	Yes	
41	Property records	Physical	Personal Information	Confidential	Permanent	N/A	Not applicable	No	
42	Bank statements	Electronic	Personal Information	Confidential	7 years from date of statement	Delete	Administrator	Yes	
43	Investment statements	Electronic	Personal Information	Confidential	7 years from date of statement	Delete	Administrator	Yes	
44	Cash books, ledgers, journals	Electronic	Personal Information	Confidential	7 years from date of cash book/ledger/journal	Delete	Administrator	Yes	
45	Dividend and interest statements	Electronic	Personal Information	Confidential	7 years from date of statement	Delete	Administrator	Yes	
46	Debtor's statements	Electronic	Personal Information	Confidential	7 years from date of statement	Delete	Administrator	Yes	
47	Fund level tax returns and tax certificates	Electronic	Personal Information	Confidential	5 years from date of returns/certificates	Delete	Administrator	Yes	
48	Vat returns and all related documents	Electronic	Personal Information	Confidential	5 years from date of returns	Delete	Administrator	Yes	
49	Legal opinions obtained by Fund	Electronic	Internal	Confidential	5 years from date of opinion	Delete	Principal Officer/Consultant	Yes	
50	Other Statutory returns (e.g. SARB reporting)	Electronic	Internal	Confidential	7 years from date of return	Delete	Administrator	Yes	
51	Reporting to FSCA (e.g. unclaimed benefits) and other Regulatory bodies (e.g. Information Regulator)	Electronic	Personal Information	Confidential	7 years from date of report	Delete	Administrator	Yes	
52	Records of proceedings regarding complaints against the Fund, including Pension Fund Adjudicator Complaints, all correspondence related thereto and final resolution correspondence	Both	Internal	Confidential	5 years from date complaint resolved	Shred & Delete	Principal Officer/Consultant	Yes	
53	Requests for information to PAIA	Electronic	Internal	Confidential	5 years from date of request	Delete	Information Officer/Consultant	Yes	
54	POPIA related correspondence (requests for objections, deletion of information and responses etc)	Electronic	Internal	Confidential	5 years from date of request	Delete	Information Officer/Consultant	Yes	
55	Records of proceedings in litigation/possible litigation matters, including (as applicable) summons, pleadings, mediation/arbitration/conciliation correspondence etc	Both	Internal	Confidential	5 years from date matter settled/court order handed down	Shred & Delete	Principal Officer/Consultant	Yes	
56	Member new entrant forms	Both	Personal Information	Confidential	5 years from date joined fund	Shred & Delete	Administrator	Yes	
57	Nomination of beneficiary forms	Electronic	Special Personal Information	Sensitive	Permanent	N/A	Employer/Administrator	Yes	
58	Contribution records at member level	Electronic	Personal Information	Confidential	5 years after membership is terminated	Delete	Administrator	Yes	
59	Contribution schedules received from employer	Electronic	Personal Information	Confidential	5 years from the date to which the contribution relates	Delete	Administrator	Yes	
60	Correspondence regarding section 13A breaches	Electronic	Internal	Confidential	5 years from date of breach	Delete	Administrator	Yes	
61	Member Investment option/switch instruction forms	Electronic	Personal Information	Confidential	For no longer than is necessary to achieve the purpose for which it is obtained	Delete	Administrator	Yes	
62	Member Benefit statements	Both	Personal Information	Confidential	5 years from date of statement	Shred & Delete	Administrator	Yes	
63	Member Investment statements	Both	Personal Information	Confidential	5 years from date of statement	Shred & Delete	Administrator	Yes	
64	Member Housing loan application forms	Both	Personal Information	Confidential	5 years from date housing loan settled	Shred & Delete	Administrator	Yes	
65	Section 14 transfer certificates (into and out of the Fund) issued to Members	Electronic	Personal Information	Confidential	5 years from date transfer is finalised	Delete	Administrator	Yes	
66	Divorce and maintenance orders, whether valid or not, and related correspondence	Both	Special Personal Information	Sensitive	5 years from date order is executed	Shred & Delete	Administrator	Yes	
67	Withdrawal claim forms and related attachments (ID, bank statement, etc)	Electronic	Personal Information	Confidential	5 years from date claim finalised	Delete	Administrator	Yes	
68	All personal Information related to a Fund member	Both	Personal Information	Confidential	For no longer than is necessary to achieve the purpose for which it is obtained	Shred & Delete	Administrator	Yes	
69	Section 37D deduction request, admission of liability, withholding request, investigation, correspondence with Fund member, and decision documentation (including disciplinary hearing proceedings, SAPS case number, etc)	Both	Special Personal Information	Sensitive	For no longer than is necessary to achieve the purpose for which it is obtained	Shred & Delete	Administrator	Yes	

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70	Other deduction documents (divorce orders, medical aid subscriptions etc) and confirmation of payment	Both	Personal Information	Confidential	5 years from date claim finalised	Shred & Delete	Administrator	Yes	
71	Withdrawal tax directive applications, tax directives, IT88 directives, and tax certificates issued	Electronic	Personal Information	Confidential	5 years from date claim finalised	Delete	Administrator	Yes	
72	Withdrawal payment letters including ROT issued	Both	Personal Information	Confidential	5 years from date claim finalised	Shred & Delete	Administrator	Yes	
73	Death claim form, death certificate, insurer application form and all related documents (ID, letters of executorship etc)	Both	Personal Information	Confidential	For no longer than is necessary to achieve the purpose for which it is obtained	Shred & Delete	Administrator	Yes	
74	Death claim investigation records, recordings, circle of potential beneficiary documents, correspondence with beneficiaries, disposition resolution and all payment documents	Both	Personal Information	Confidential	For no longer than is necessary to achieve the purpose for which it is obtained	Shred & Delete	Administrator	Yes	
75	Death claim investigation records and documents related to children	Both	Special Personal Information	Sensitive	For no longer than is necessary to achieve the purpose for which it is obtained	Shred & Delete	Administrator	Yes	
76	Death claim payment letter/s including correspondence where payment is made to a beneficiary fund or other third party as allowed for in the Pension Funds Act	Both	Personal Information	Confidential	5 years from date claim finalised	Shred & Delete	Administrator	Yes	
77	Death claim tax directive applications, tax directives, IT88 directives, and tax certificates issued	Electronic	Personal Information	Confidential	5 years from date claim finalised	Delete	Administrator	Yes	
78	All Personal Information related to family of a Fund Member, deceased Fund Member, former Fund member	Both	Personal Information	Confidential	For no longer than is necessary to achieve the purpose for which it is obtained	Shred & Delete	Administrator	Yes	
79	All Personal Information related to children in relation to a Fund Member, deceased Fund Member, former Fund member	Both	Special Personal Information	Sensitive	For no longer than is necessary to achieve the purpose for which it is obtained	Shred & Delete	Administrator	Yes	
80	Disability claim form, correspondence with claimant and employer, medical records and information and correspondence with insurer	Both	Special Personal Information	Sensitive	For no longer than is necessary to achieve the purpose for which it is obtained	Shred & Delete	Administrator	Yes	
81	Unclaimed benefit records and applicable correspondence	Electronic	Personal Information	Confidential	5 years from date claim finalised/transfer to an unclaimed benefits fund	Delete	Administrator	Yes	