



# Annual review of company records and safe data destruction checklist

Take Part Wellbeing CIC

## Checklist for Annual Review of Take Part Records and Safe Data Destruction

### Completion page

Take Part name: Take Part Wellbeing CIC

Review completed by: Louise Coker - CEO

Date: 1 September 2019

#### A. Summary of areas reviewed:

| Ref        | Area  | Pages  | Annual Review Completed Tick (✓) | Reviewer Initials |
|------------|---|--------|----------------------------------|-------------------|
| 1          | Management of Take Part                               | 4 to 6 |                                  |                   |
| 2          | Human Resources of Take Part                          | 7 to 9 |                                  |                   |
| 3          | Financial Management of Take Part                     | 10     |                                  |                   |
| 4          | Pupil Management of Take Part                         | 11     |                                  |                   |
| 5          | Curriculum Management of Take Part                    | 12     |                                  |                   |
| 6          | Extra Curriculum Management of Take Part              | 13     |                                  |                   |
| Appendix A | List of Take Part's Records and Data safely destroyed | 14     |                                  |                   |

# Checklist for Annual Review of Take Part Records and Safe Data Destruction

## Contents

|   |    |
|---|----|
| A. Aims .....   | 2  |
| B. Safe Destruction of Data .....   | 2  |
| (i) Disposal of records that have reached the end of the minimum retention period allocated ..... | 2  |
| (ii) Safe destruction of records .....  | 2  |
| 1. Management of Take Part .....  | 4  |
| 2. Human Resources .....  | 7  |
| 3. Financial Management of Take Part .....  | 10 |
| 4. Pupil Management .....   | 11 |
| 5. Curriculum Management .....  | 12 |
| 6. Extra Curriculum Management .....  | 13 |
| Appendix A – List of Take Part Records and Data safely destroyed .....                            | 14 |

## A. Aims

*This checklist has been produced based on the “Information Management Toolkit for Take Part”*

**This is a checklist** developed to enable Take Part Staff to carry out an efficient annual review and safe destruction of Take Part records and information.

## B. Safe Destruction of Data

- (i) Disposal of records that have reached the end of the minimum retention period allocated  
The Leadership Team must ensure that records that are no longer required for business use are reviewed as soon as possible under the criteria set out so that only the appropriate records are destroyed.

Our Annual Review will determine whether records are to be selected for permanent preservation, destroyed, digitized to an electronic format or retained by Take Part for research or litigation purposes; the outcome of these decisions will need to be documented as part of the records management policy within Take Part.

- (ii) Safe destruction of records

All records containing personal information, or sensitive policy information should be made either unreadable or un-reconstructable.

- Paper records should be shredded using a crosscutting shredder
- CDs / DVDs / Floppy Disks should be cut into pieces
- Audio / Video Tapes and Fax Rolls should be dismantled and shredded
- Hard Disks should be dismantled and sanded

Any other records should be bundled up and disposed of to a waste paper merchant or disposed of in other appropriate ways. Do not put records in with the regular waste or a skip unless there is no other alternative.

There are companies who can provide confidential waste bins and other services, which can be purchased to ensure that records are disposed of in an appropriate way.

- a) Where an external provider is used it is recommended that all records must be shredded on-site in the presence of an employee. Take Part must also be able to prove that the

## Checklist for Annual Review of Take Part Records and Safe Data Destruction

records have been destroyed by the company who should provide a Certificate of Destruction. Staff working for the external provider should have been trained in the handling of confidential documents.

The shredding needs to be planned with specific dates and all records should be identified as to the date of destruction.

It is important to understand that if the records are recorded as to be destroyed but have not yet been destroyed and a request for the records has been received they MUST still be provided.

- b) Where records are destroyed internally, the process must ensure that all records recorded are authorized to be destroyed by a member of the Leadership team and the destruction recorded. Records should be shredded as soon as the record has been documented as being destroyed.

If you have any queries in completing this checklist please contact:

Louise Coker, CEO

Email: [info@wearetakepart.com](mailto:info@wearetakepart.com)

Phone: 07847 704 746

---

### Version Control History

First Edition – September 2019

## Checklist for Annual Review of Take Part Records and Safe Data Destruction

### 1. Management of Take Part

*This section contains retention periods connected to the general management of the business. This covers the work of the Senior Leadership Team, the admissions process and operational administration.*

| Ref   | Basic file description  | Data Protection Issues  | Retention Period [Operational]                                    | Action at the end of the administrative life of the record | Annual Review Completed Tick (✓) |
|-------|---|---|---|--|----------------------------------|
| 1.2.1 | Log books of activity in Take Part maintained by the CEO  | There may be data protection issues if the log book refers to individual pupils or members of staff       | Date of last entry in the book + a minimum of 6 years then review | SECURE DISPOSAL  |                                  |
| 1.2.2 | Minutes of Senior Leadership Team meetings and the meetings of other internal administrative bodies                 | There may be data protection issues if the minutes refers to individual pupils or members of staff        | Date of the meeting + 3 years then review                         | SECURE DISPOSAL  |                                  |
| 1.2.3 | Reports created by the CEO or the Senior Leadership Team  | There may be data protection issues if the report refers to individual pupils or members of staff         | Date of the report + a minimum of 3 years then review             | SECURE DISPOSAL  |                                  |
| 1.2.4 | Records created by CEO, heads of Departments and other members of staff with administrative responsibilities        | There may be data protection issues if the records refer to individual pupils or members of staff         | Current academic year + 6 years then review                       | SECURE DISPOSAL  |                                  |
| 1.2.5 | Correspondence created by CEO, Heads of Departments and other members of staff with administrative responsibilities | There may be data protection issues if the correspondence refers to individual pupils or members of staff | Date of correspondence + 3 years then review                      | SECURE DISPOSAL  |                                  |
| 1.2.6 | Professional Development Plans  | Yes   | Life of the plan + 6 years  | SECURE DISPOSAL  |                                  |
| 1.2.7 | Take Part Development Plans   | No  | Life of the plan + 3 years  | SECURE DISPOSAL  |                                  |

## Checklist for Annual Review of Take Part Records and Safe Data Destruction

| 1.3 Admissions Process |   |                        |   |   |                                  |
|------------------------|---|------------------------|---|---|----------------------------------|
| Ref                    | Basic file description  | Data Protection Issues | Retention Period [Operational]  | Action at the end of the administrative life of the record  | Annual Review Completed Tick (v) |
| 1.3.1                  | All records relating to the creation and implementation of Take Part Admissions' Policy                   | No                     | Life of the policy + 3 years then review  | SECURE DISPOSAL   |                                  |
| 1.3.2                  | Admissions – if the admission is successful   | Yes                    | Date of admission + 1 year  | SECURE DISPOSAL   |                                  |
| 1.3.4                  | Register of Admissions  | Yes                    | Every entry in the admission register must be preserved for a period of three years after the date on which the entry was made. | REVIEW<br>Take Part may wish to consider keeping the admission register permanently as often Take Part receive enquiries from past pupils to confirm the dates they attended Take Part. |                                  |
| 1.3.7                  | Supplementary Information form including additional information such as religion, medical conditions etc. | Yes                    |   |   |                                  |

## Checklist for Annual Review of Take Part Records and Safe Data Destruction

| 1.4 Operational Administration |  |                        |                                    |  |                                  |
|--------------------------------|--|------------------------|------------------------------------|--|----------------------------------|
| Ref                            | Basic file description   | Data Protection Issues | Retention Period [Operational]     | Action at the end of the administrative life of the record | Annual Review Completed Tick (v) |
| 1.4.1                          | General file series  | No                     | Current year + 5 years then REVIEW | SECURE DISPOSAL  |                                  |
| 1.4.2                          | Records relating to the creation and publication of Take Part brochure or prospectus       | No                     | Current year + 3 years             | STANDARD DISPOSAL  |                                  |
| 1.4.3                          | Records relating to the creation and distribution of circulars to staff, parents or pupils | No                     | Current year + 1 year              | STANDARD DISPOSAL  |                                  |
| 1.4.4                          | Newsletters and other items with a short operational use                                   | No                     | Current year + 1 year              | STANDARD DISPOSAL  |                                  |
| 1.4.5                          | Visitors' Books and Signing in Sheets  | Yes                    | Current year + 6 years then REVIEW | SECURE DISPOSAL  |                                  |
| 1.4.6                          | Records relating to the creation and management of Parent Associations and/or Alumni       | No                     | Current year + 6 years then REVIEW | SECURE DISPOSAL  |                                  |

## Checklist for Annual Review of Take Part Records and Safe Data Destruction

### 2. Human Resources

*This section deals with all matters of Human Resources management within Take Part.*

| <b>2.1 Recruitment</b> |   |                               |   |   |   |
|------------------------|---|-------------------------------|---|---|---|
| <b>Ref</b>             | <b>Basic file description</b>   | <b>Data Protection Issues</b> | <b>Retention Period [Operational]</b>   | <b>Action at the end of the administrative life of the record</b> | <b>Annual Review Completed Tick (✓)</b> |
| 2.1.2                  | All records leading up to the appointment of a new member of staff – unsuccessful candidates          | Yes                           | Date of appointment of successful candidate + 6 months  | SECURE DISPOSAL   |   |
| 2.13                   | All records leading up to the appointment of a new member of staff – successful candidate             | Yes                           | All the relevant information should be added to the staff personal file (see below) and all other information retained for 6 months   | SECURE DISPOSAL   |   |
| 2.1.4                  | Pre-employment vetting information – DBS Checks   | No                            | Take Part does not have to keep copies of DBS certificates. If Take Part does so the copy must NOT be retained for more than 6 months   |   |   |
| 2.1.5                  | Proofs of identity collected as part of the process of checking<br>“Portable” enhanced DBS disclosure | Yes                           | Where possible these should be checked and a note kept of what was seen and what has been checked. If it is felt necessary to keep copy documentation then this should be placed on the member of staff’s personal file                     |   |   |
| 2.1.6                  | Pre-employment vetting information – Evidence proving the right to work in the United Kingdom         | Yes                           | Where possible these documents should be added to the Staff Personal File [see below], but if they are kept separately then the Home Office requires that the documents are kept for termination of Employment plus not less than two years |   |   |



## Checklist for Annual Review of Take Part Records and Safe Data Destruction

| <b>2.2 Operational Staff Management</b> |                                      |                        |                                     |  |                                  |
|---|--------------------------------------|------------------------|-------------------------------------|--|----------------------------------|
| Ref                                     | Basic file description               | Data Protection Issues | Retention Period [Operational]      | Action at the end of the administrative life of the record | Annual Review Completed Tick (v) |
| 2.2.1                                   | Staff Personal File                  | Yes                    | Termination of Employment + 6 years | SECURE DISPOSAL  |                                  |
| 2.2.2                                   | Timesheets                           | Yes                    | Current year + 6 years              | SECURE DISPOSAL  |                                  |
| 2.2.3                                   | Annual appraisal/ assessment records | Yes                    | Current year + 5 years              | SECURE DISPOSAL  |                                  |

| <b>2.3 Management of Disciplinary and Grievance Processes</b> |   |                        |  |  |                                  |
|---|---|------------------------|--|--|----------------------------------|
| Ref   | Basic file description  | Data Protection Issues | Retention Period [Operational]   | Action at the end of the administrative life of the record   | Annual Review Completed Tick (v) |
| 2.3.1   | Allegation of a child protection nature against a member of staff including where the allegation is unfounded | Yes                    | Until the person's normal retirement age or 10 years from the date of the allegation whichever is the longer then REVIEW. Note allegations that are found to be malicious should be removed from personnel files. If found they are to be kept on the file and a copy provided to the person concerned | SECURE DISPOSAL<br><br>These records must be shredded  |                                  |
| 2.3.2   | Disciplinary Proceedings  | Yes                    |  |  |                                  |
|   | Oral warning  |                        | Date of warning + 6 months   | SECURE DISPOSAL<br><br>[If warnings are placed on personal files then they must be weeded from the file] |                                  |
|   | Written warning – level 1   |                        | Date of warning + 6 months   |  |                                  |
|   | Written warning – level 2   |                        | Date of warning + 12 months  |  |                                  |
|   | Final warning   |                        | Date of warning + 18 months  |  |                                  |
|   | Case not found  |                        | If the incident is child protection related then see above otherwise dispose of at the conclusion of the case  | SECURE DISPOSAL  |                                  |

## Checklist for Annual Review of Take Part Records and Safe Data Destruction

| 2.4 Health and Safety |  |                        |  |  |                                  |
|-----------------------|--|------------------------|--|--|----------------------------------|
| Ref                   | Basic file description   | Data Protection Issues | Retention Period [Operational]   | Action at the end of the administrative life of the record | Annual Review Completed Tick (v) |
| 2.4.1                 | Health and Safety Policy Statements  | No                     | Life of policy + 3 years   | SECURE DISPOSAL  |                                  |
| 2.4.2                 | Health and Safety Risk Assessments   | No                     | Life of risk assessment + 3 years  | SECURE DISPOSAL  |                                  |
| 2.4.3                 | Records relating to accident/ injury at work   | Yes                    | Date of incident + 12 years<br>In the case of serious accidents a further retention period will need to be applied | SECURE DISPOSAL  |                                  |
| 2.4.4                 | Accident Reporting   | Yes                    |  |  |                                  |
|                       | Adults   |                        | Date of the incident + 6 years   | SECURE DISPOSAL  |                                  |
|                       | Children   |                        | DOB of the child + 25 years  | SECURE DISPOSAL  |                                  |
| 2.4.5                 | Control of Substances Hazardous to Health (COSHH)  | No                     | Current year + 40 years  | SECURE DISPOSAL  |                                  |
| 2.4.6                 | Process of monitoring of areas where employees and persons are likely to have become in contact with asbestos  | No                     | Last action + 40 years   | SECURE DISPOSAL  |                                  |
| 2.4.7                 | Process of monitoring of areas where employees and persons are likely to have become in contact with radiation | No                     | Last action + 50 years   | SECURE DISPOSAL  |                                  |
| 2.4.8                 | Fire Precautions log books   | No                     | Current year + 6 years   | SECURE DISPOSAL  |                                  |

| 2.4 Payroll and Pensions |  |                        |                                |  |                                  |
|--------------------------|--|------------------------|--------------------------------|--|----------------------------------|
| Ref                      | Basic file description   | Data Protection Issues | Retention Period [Operational] | Action at the end of the administrative life of the record | Annual Review Completed Tick (v) |
| 2.5.1                    | Maternity pay records  | Yes                    | Current year + 3 years         | SECURE DISPOSAL  |                                  |
| 2.5.2                    | Records held under Retirement Benefits Schemes (Information Powers) Regulations 1995 | Yes                    | Current year + 6 years         | SECURE DISPOSAL  |                                  |

## Checklist for Annual Review of Take Part Records and Safe Data Destruction

### 3. Financial Management of Take Part

*This section deals with all aspects of the financial management of Take part*

#### 3.1 Risk Management and Insurance

| Ref   | Basic file description                     | Data Protection Issues | Retention Period [Operational]  | Action at the end of the administrative life of the record | Annual Review Completed Tick (v) |
|-------|--|------------------------|---------------------------------|--|----------------------------------|
| 3.1.1 | Employer's Liability Insurance Certificate | No                     | Closure of Take Part + 40 years | SECURE DISPOSAL  |                                  |

#### 3.2 Asset Management

| Ref   | Basic file description                     | Data Protection Issues | Retention Period [Operational] | Action at the end of the administrative life of the record | Annual Review Completed Tick (v) |
|-------|--|------------------------|--------------------------------|--|----------------------------------|
| 3.2.1 | Inventories of furniture and equipment     | No                     | Current year + 6 years         | SECURE DISPOSAL  |                                  |
| 3.2.2 | Burglary, theft and vandalism report forms | No                     | Current year + 6 years         | SECURE DISPOSAL  |                                  |

#### 3.3 Accounts and Statements including Budget Management

| Ref   | Basic file description   | Data Protection Issues | Retention Period [Operational]                          | Action at the end of the administrative life of the record | Annual Review Completed Tick (v) |
|-------|--|------------------------|---|--|----------------------------------|
| 3.3.1 | Annual Accounts  | No                     | Current year + 6 years                                  | STANDARD DISPOSAL  |                                  |
| 3.3.2 | Loans and grants managed by Take Part  | No                     | Date of last payment on the loan + 12 years then REVIEW | SECURE DISPOSAL  |                                  |
| 3.3.3 | Student Bursary/Scholarship applications   | Yes                    | Current year + 3 years                                  | SECURE DISPOSAL  |                                  |
| 3.3.4 | All records relating to the creation and management of budgets including the Annual Budget statement and background papers | No                     | Life of the budget + 3 years                            | SECURE DISPOSAL  |                                  |
| 3.3.5 | Invoices, receipts, order books and requisitions, delivery notices   | No                     | Current financial year + 6 years                        | SECURE DISPOSAL  |                                  |
| 3.3.6 | Records relating to the collection and banking of monies   | No                     | Current financial year + 6 years                        | SECURE DISPOSAL  |                                  |
| 3.3.7 | Records relating to the identification and collection of debt  | No                     | Current financial year + 6 years                        | SECURE DISPOSAL  |                                  |

## Checklist for Annual Review of Take Part Records and Safe Data Destruction

### 4. Pupil Management

*This section includes all records, which are created during the time a pupil spends at Take Part. For information about accident reporting see under Health and Safety above*

#### 5.1 Pupil's Educational Record

| Ref   | Basic file description             | Data Protection Issues | Retention Period [Operational]                     | Action at the end of the administrative life of the record                | Annual Review Completed Tick (v) |
|-------|------------------------------------|------------------------|--|---|----------------------------------|
| 5.1.2 | Examination Results – Pupil Copies | Yes                    |  |   |                                  |
|       | Public                             |                        | This information should be added to the pupil file | All uncollected certificates should be returned to the examination board. |                                  |
|       | Internal                           |                        | This information should be added to the pupil file |   |                                  |

#### 5.2 Attendance

| Ref   | Basic file description | Data Protection Issues | Retention Period [Operational]   | Action at the end of the administrative life of the record | Annual Review Completed Tick (v) |
|-------|------------------------|------------------------|--|--|----------------------------------|
| 5.2.1 | Attendance Registers   | Yes                    | Every entry in the attendance register must be preserved for a period of three years after the date on which the entry was made. | SECURE DISPOSAL  |                                  |

## Checklist for Annual Review of Take Part Records and Safe Data Destruction

### 5. Curriculum Management

| 6.1 Statistics and Management Information |                                      |                        |                                |  |                                  |
|---|--------------------------------------|------------------------|--------------------------------|--|----------------------------------|
| Ref                                       | Basic file description               | Data Protection Issues | Retention Period [Operational] | Action at the end of the administrative life of the record | Annual Review Completed Tick (v) |
| 6.1.2                                     | Examination Results (Take Part Copy) | Yes                    | Current year + 6 years         | SECURE DISPOSAL  |                                  |
| 6.1.4                                     | Value Added and Contextual Data      | Yes                    | Current year + 6 years         | SECURE DISPOSAL  |                                  |
| 6.1.5                                     | Self-Evaluation Forms                | Yes                    | Current year + 6 years         | SECURE DISPOSAL  |                                  |

| 6.2 Implementation of Curriculum |                        |                        |  |   |                                  |
|----------------------------------|------------------------|------------------------|--|---|----------------------------------|
| Ref                              | Basic file description | Data Protection Issues | Retention Period [Operational]   | Action at the end of the administrative life of the record  | Annual Review Completed Tick (v) |
| 6.2.1                            | Schemes of Work        | No                     | Current year + 1 year  | Review these records at the end of each year and allocate a further retention period or SECURE DISPOSAL |                                  |
| 6.2.2                            | Timetable              | No                     | Current year + 1 year  |   |                                  |
| 6.2.3                            | TTT Log Books          | No                     | Current year + 1 year  |   |                                  |
| 6.2.4                            | Mark Books             | No                     | Current year + 1 year  |   |                                  |
| 6.2.5                            | Record homework set    | No                     | Current year + 1 year  |   |                                  |
| 6.2.6                            | Pupils' Work           | No                     | Where possible pupils' work should be returned to the pupil at the end of the academic year if this is not Take Part's policy then current year + 1 year | SECURE DISPOSAL   |                                  |

## Checklist for Annual Review of Take Part Records and Safe Data Destruction

### 6. Extra Curriculum Management

| 7.1 Educational Visits outside the Classroom |   |                        |   |   |                                  |
|--|---|------------------------|---|---|----------------------------------|
| Ref  | Basic file description  | Data Protection Issues | Retention Period [Operational]  | Action at the end of the administrative life of the record  | Annual Review Completed Tick (✓) |
| 7.1.1  | Records created by Take Part to obtain approval to run an Educational Visit outside of Take Part –Primary Pupils    | No                     | Date of visit + 14 years  | SECURE DISPOSAL   |                                  |
| 7.1.2  | Records created by Take Part to obtain approval to run an Educational Visit outside of Take Part – Secondary Pupils | No                     | Date of visit + 10 years  | SECURE DISPOSAL   |                                  |
| 7.1.3  | Parental consent forms for Take Part trips where there has been no major incident                                   | Yes                    | Conclusion of the trip  | Although the consent forms could be retained for DOB + 22 years, the requirement for them being needed is low and Take Part do not have the storage capacity to retain every single consent form issued by Take Part for this period of time. |                                  |
| 7.1.4  | Parental permission slips for Take Part trips – where there has been a major incident                               | Yes                    | DOB of the pupil involved in the incident + 25 years<br><br>The permission slips for all the pupils on the trip need to be retained to show that the rules had been followed for all pupils |   |                                  |

## Checklist for Annual Review of Take Part Records and Safe Data Destruction

### Appendix A – List of Take Part Records and Data safely destroyed

The following sheet can be completed or alternatively documented in a spreadsheet.

| Ref Number  | File/Record Title         | Description                                      | Reference or Cataloguing Information                     | Number of Files Destroyed | Method of destruction | <u>Confirm</u><br>(i) Safely destroyed<br>(ii) In accordance with Data Retention Guidelines<br>Tick (✓) |
|-------------|---------------------------|--|--|---------------------------|-----------------------|---|
| <i>e.g.</i> | <i>Take Part Invoices</i> | <i>Copies of purchase invoices dated 2011/19</i> | <i>Folders marked "Purchase Invoices 2011/19" 1 to 3</i> | <i>3 Folders</i>          | <i>Shredding</i>      | <b>✓</b>  |
| 1           |                           |  |  |                           |                       |   |
| 2           |                           |  |  |                           |                       |   |
| 3           |                           |  |  |                           |                       |   |
| 4           |                           |  |  |                           |                       |   |
| 5           |                           |  |  |                           |                       |   |
| 6           |                           |  |  |                           |                       |   |
| 7           |                           |  |  |                           |                       |   |
| 8           |                           |  |  |                           |                       |   |
| 9           |                           |  |  |                           |                       |   |
| 10          |                           |  |  |                           |                       |   |
| 11          |                           |  |  |                           |                       |   |
| 12          |                           |  |  |                           |                       |   |
| 13          |                           |  |  |                           |                       |   |
| 14          |                           |  |  |                           |                       |   |