



YuGo Record Keeping Policy

If you require this information in any other accessible format, please contact:

YuGo Exercise Engagement Pioneers
Unit 9
Brunel Mall
London Road
Stroud, GL5 2BP
hello@yugo.org.uk
01453 750474

1. ACRONYMS

Data Protection Act 2018 (DPA)
General Data Protection Regulation
Data Protection Officer (DPO)
Data Security & Protection Toolkit (DSPT)
Information Commissioner's Office (ICO)
The Information Asset Register (IAR)
Record of Processing Activities (ROPA)

2. INTRODUCTION, PURPOSE AND SCOPE

- 2.1 This Record Keeping Policy is YuGo's (hereafter referred to as "us", "we", or "our") policy regarding the safekeeping of all records from their creation to disposal – this includes our procedures for sharing information externally.
- 2.2 YuGo's designated Data Security and Protection Leads are: Naomi Boast (Head of Operations) and Max Pemberton (YuGo Director).

3. PURPOSE

- 3.1 This policy will ensure that both participants and staff/volunteer records are properly created, accessible and available for use and that they are disposed of in a secure and timely fashion. It provides staff with guidance regarding individual responsibility for accuracy and appropriate storage of records.
- 3.2 This Record Keeping Policy covers:
- Our record keeping procedure from creation to disposal;
 - Transparency procedures;
 - Our retention & disposal procedures;
 - Our information handling procedures – including our procedures for safely and legally sharing information externally;
 - Procedures for individual making requests about their data (GDPR individual data rights);

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- Subject access request procedures;
- Data subject rights

4. SCOPE

4.1 This policy includes in its scope all data which we process either in hardcopy or digital copy, this includes special categories of data.

4.2 This policy applies to all staff, volunteers, directors and contractors.

5. RECORD KEEPING PROCEDURES – CREATION AND USE OF RECORDS

5.1 All records are kept in accessible but protected locations. The location of these records is documented in the Information Asset Register (IAR). The security procedures around access to records are detailed in the Data Security Policy.

5.2 Throughout the lifespan of the record we:

5.2.1 Provide staff with guidance and training on the creation and use of records and their legal responsibilities to share and safeguard personal confidential information;

5.2.2 Monitor access to the record. The procedures which detail our auditing and monitoring process are detailed in our Data Security Policy.

5.3 At any point in the lifespan of the record, the data subject has the right to request access to their data. These subject access procedures are detailed in Section 9 of this policy.

5.4 At any point in the lifespan of the record, the data subject has the right to request that their record is corrected. These procedures are detailed in the Data Quality Policy.

5.5 At any point in the lifespan of the record, the data subject has the right to request the erasure ('Right to be forgotten') of their record.

5.6 Records are only retained while they are necessary for the purposes for which they were originally collected. We will ensure that all records are retained and destroyed in-line with Section 6: Retention & Disposal Procedures.

5.7 At least annually we guarantee that we will audit our record keeping procedures to ensure that they are adequate and continue to keep our records to the highest standards.

6. TRANSPARENCY PROCEDURES

6.1 Our privacy notice outlines to people why we hold their data, the lawful basis for doing so, and their rights in terms of how we process their data.

6.2 Our privacy notice is freely available to all individuals whose data we process and is part of our commitment to transparency and accountability. It satisfies the individual's right to be informed under GDPR.

6.3 This privacy notice is available on our website (www.yugo.org.uk) under Downloads and Resources in the footer.

6.4 The privacy notice will be reviewed and updated at least every 3 years.

6.5 The privacy notice has been signed off by the Board of Directors

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- 6.6 We will provide people with this information at the moment that we ask them to give us their personal data either on an YuGo Registration Form or on job/volunteer application.
- 6.7 If we receive an individual's personal data from a source other than that individual, we will provide them with privacy information without undue delay and at least within one month.

7. RETENTION SCHEDULE AND DISPOSAL PROCEDURES

- 7.1 We will adhere to the retention timelines determined by Appendix 1 – Retention Timelines.
- 7.2 At the end of their lifespan, the records will go through an appraisal process. This process will determine if there is a continuing legal basis for keeping the record. The Head of Operations will have final responsibility for determining whether the record will be destroyed or retained.
- 7.3 In the instance that paper records are destroyed, our process is to use a third party shredding company (Printwaste) who provide us with disposal certificates.
- 7.4 All disposal procedures are kept with our Retention Timeline is Appendix 1.

8. INFORMATION HANDLING PROCEDURES

- 8.1 Information Handling Procedures ensure that personal information is protected and that it is not disclosed inappropriately, either by accident or design, whilst in use or when it is being transferred.
- 8.2 In line with legislation, personal information is not processed without a lawful basis being identified. The Record of Processing Activities (ROPA) records all processing of personal data and identifies the legal basis for it being processed.
- 8.3 These procedures cover all records which contain data or information which can be said to contain personal data whether stored in hardcopy or digitally.
- 8.4 Guidelines for staff on the secure use of personal information are outlined in the Allsorts Code of Conduct policy.
- 8.5 We ensure that there are secure points for the receipt of personal information transferred to us and we have applied the following measures to safeguard personal information during receipt and transfer/transit:

8.5.1 Verbal communications:

- Staff members have been provided with training on verbal communications. They know that they must take appropriate precautions not to reveal confidential information e.g. to avoid being overheard when making a phone call or not to have confidential conversations in public places or open offices. The Code of Conduct inform them that breach of this procedure may be a disciplinary or legal offense.

8.5.2 Postal services and couriers:

- We will ensure that all confidential information we transfer by post or courier is done so as securely as is practicable. All records transferred in this manner are addressed to a named individual and marked "Private and Confidential".

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8.5.3 Portable devices:

- We recognise that information held on portable devices is at increased risk. Portable devices include memory sticks, CDs, DVDs, mobile phones etc. All portable devices have been documented on the IAR, and all relevant staff have received guidelines on safe usage and have signed a Portable Device Assignment Form.
- Portable devices such as memory sticks, CDs, etc. must not be used on personal computers;
- Password protected screensavers are installed on laptops;
- Anti-virus software is in use and is regularly updated.
- All portable devices are protected by either a PIN or password (dependent on the type of device).

8.5.4 Email:

- All documents containing identifiable personal information must be encrypted before being sent to a colleague.

9. PROCEDURES FOR INDIVIDUAL'S MAKING REQUESTS ABOUT THEIR DATA (GDPR INDIVIDUAL DATA RIGHTS)

- 9.1 GDPR provides all individuals within the EU specific rights when it comes to their personal data.
- 9.2 To exercise these rights an individual should contact any staff member, though ideally the Data Security and Protection Lead, and make a request either verbally or in writing.
- 9.3 In the instance that the request is made to a member of staff who is not the Data Security and Protection Lead, that staff member will inform the Data Security and Protection Lead as soon as possible, the timeline for responding to requests begins from when the first staff member is contacted.
- 9.4 In all cases we will respond to a request without delay and in a timeframe not exceeding one month from when the request was made.
- 9.5 Should the request be complex this may be extended to two months, however, we will inform the individual in writing of the extension and the reasons why it is required within one month.
- 9.6 If the request is manifestly unfounded or excessive we may either request a reasonable fee to cover our administrative costs or we may refuse to comply with the request.
- 9.7 If we refuse to comply with a request we will inform the individual why we are not taking action, tell them about their right to complain to the ICO, and tell them that they have the right to seek a judicial remedy.
- 9.8 In order to process any request, we will use reasonable means to verify the identity of the individual making the request so that no data is shared inappropriately.
- 9.9 The Data Security and Protection Lead will maintain a log of all requests and their outcomes.

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10. SUBJECT ACCESS REQUEST PROCEDURES

- 10.1 All individuals have the right to access their personal data which we process and store.
- 10.2 Confidential records of the deceased have the rights afforded to them by the Duty of Confidentiality and the Access to Health Records Act 1990. Should any person wish to request access for any records of the deceased they should contact the Data Security and Protection Lead.
- 10.3 We will provide a copy of any information which it is lawful to provide free of charge.
- 10.4 We will provide copies of the information requested in a reasonable format – either in hard copy or digital.

11. DATA SUBJECT RIGHTS

11.1 In line with the Data Protection Act 2018 principles, YuGo will ensure that personal data will:

- Be obtained fairly and lawfully and processed following strict guidelines.
- Be obtained for a specific and lawful purpose.
- Be adequate, relevant but not excessive.
- Be accurate and kept up to date.
- Not be held longer than necessary.
- Be processed in accordance with the rights of data subjects.
- Be subject to appropriate security measures.
- Not to be transferred outside the European Economic Area (EEA)

10.2 Under the Data Protection legislation, data subjects have the following rights with regards to their personal information:

Right to erasure

All staff, directors, volunteers and YuGo participants have the right to request the erasure of their data which we control or process. All staff, directors, volunteers and YuGo participants can request for their data to be erased in the following instances:

- Where the personal data is no longer necessary in relation to the purpose for which it was originally collected/processed;
- When they withdraw consent;
- When they object to the processing and there is no overriding legitimate interest for continuing the processing;
- The personal data was unlawfully processed;
- The personal data must be erased in order to comply with a legal obligation;

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- The personal data is processed in relation to the offer of information society services to a child.

We will not be able to honour any requests to have personal data erased when the data is being processed for the following reasons:

- to assess the working capacity of an employee;
- to exercise the right of freedom of expression and information;
- to comply with a legal obligation for the performance of a public interest task or exercise of official authority;
- for public health purposes in the public interest;
- archiving purposes in the public interest, scientific research historical research or statistical purposes;
- the exercise or defence of legal claims.

Where at all possible, in the instance that we have appropriately shared an individual's records with any third-party we will inform this third-party of the erasure if appropriate.

We will erase records in line with the disposal procedures set out in this policy.

The right to be informed

YuGo must issue certain information about the processing activities that affect you. This information is provided in a Privacy Notice that is made available at the point the data is collected.

The right of access

YuGo, as the data controller, must provide you with:

- confirmation that your data is being processed.
- access to your personal data

The right to rectification

You can ask YuGo to correct any personal information it holds about you to ensure your data is accurate. You may also ask YuGo to complete incomplete data held about yourself.

Where at all possible, in the instance that we have appropriately shared that individual's records with any third-party we will inform this third-party of the rectification if appropriate.

In all cases we will respond to a request for rectification within one month. Should the request be complex this may be extended to two months, however, we will inform the individual in writing of the extension and the reasons why it is required within one month.

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To request for their records to be rectified members or staff should contact us with the request for rectification either verbally or in writing. If the rectification is due to the record being incomplete, then the individual should also provide the supplementary information to update the record.

While we are assessing the request to rectify records, we will restrict processing of the data in question. This will be done in line with our Right to Restrict Processing Procedure as outlined below.

The right to restrict processing

All individuals have the right to request that we restrict the processing of their data in the following circumstances:

- while we are verifying the accuracy of any data we keep when an individual has made a request for the rectification of their personal data;
- in the instance that their personal data has been processed unlawfully and the individual requests that their data is not erased;
- When we do not need to keep the personal data but the individual has requested that we keep it in order to establish, exercise or defend a legal claim;
- If an individual objects to us processing their personal data, we will restrict all processing while we investigate the request.

When we restrict processing, we will store the individual's personal data but will not process their data in any other way.

The right to data portability

The right to data portability allows individuals to move, copy or transfer personal data easily from one IT environment to another in a safe and secure way, without hindrance to usability. This enables us to obtain and reuse personal data across different services.

The right to data portability only applies:

- to personal data that an individual has personally provided to YuGo
- where the processing is based on consent or the performance of a contract
- where processing is carried by automated means (i.e., excluding paper files)

The right to object

GDPR gives individuals the right to object to the processing of their personal data at any time. This effectively allows individuals to stop or prevent us from processing their personal data.

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An objection may be in relation to all of the personal data we hold about an individual or only to certain information. It may also only relate to a particular purpose we are processing the data for.

An individual can make an objection verbally or in writing.

They have an absolute right to object to us using their personal data for any direct marketing.

If they object to us using their data for marketing we will immediately stop using their data for this purpose. We will retain only enough data for us to be able to have a record that they don't want to receive direct marketing so that their request can be respected.

Individuals can also object to us processing their data if we are doing it under Public Task or Legitimate Interests grounds. The individual should provide specific reasons which are based on their specific situation for why they object.

We cannot comply with the objection if we have compelling legitimate grounds for the processing, which override the interests, rights and freedoms of the individual or if the processing is for the establishment, exercise or defence of legal claims.

In the instance that we cannot comply, we will clearly document our decision for this, inform the individual, inform them of their right to go to the ICO, or to seek judicial recourse.

Rights relating to automated decision making and profiling.

Automated decision-making takes place when an electronic system uses personal information to make decisions without human intervention.

YuGo could use automated decision-making in the following circumstances:

- where we have notified you of the decision and given you 21 days to request a reconsideration
- where it is necessary to perform the contract and appropriate measures are in place to safeguard your rights.

Withdrawal of consent procedures

All people have the right to withdraw their consent to have their personal information shared at any time.

We will make every endeavor that it will be as easy to withdraw consent as it is to give consent.

In certain instances, where legislation or public good outweighs the individual's right to not consent to information sharing, we may not be able to honour any withdrawal of

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consent. This will be discussed in detail and will only occur if we can demonstrate compelling legitimate grounds for the processing, which override the interests, rights and freedoms of the individual.

Participants are able to withdraw consent by unsubscribing from any direct emails sent via our email provider (Mailchimp), or by contacting YuGo on hello@YuGo.org.uk.


Any time in which consent is not given or is withdrawn the Data Security and Protection Lead will keep a log of this on the individual's record on the CRM database.

12. RESPONSIBILITIES

- 12.1 The Data Security and Protection Lead is responsible for maintaining records around Subject Access, Rectification, Erasure and Withdrawal of Consent requests.
- 12.2 The Data Security and Protection Lead is also responsible for maintaining staff training on record keeping and auditing staff knowledge annually.
- 12.3 The Data Security and Protection Lead will monitor compliance with the Record Keeping Policy and has responsibility for reviewing the policy at least every 3 years.

13. APPROVAL

This policy has been approved by the Board of Directors and will be reviewed at least every 3 years.

Name	NAOMI BOAST
Signature	
Approval Date	14/02/2024
Review Date	14/02/2027

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APPENDIX 1 – RETENTION TIMELINES

Type of Record	Recommended retention period	How we dispose
STAFF		
Application forms and interview notes for unsuccessful candidates	Destroy after interview process	Shredded securely
Application forms and interview notes for successful candidates	If employed filed in locked HR file until they become a leaver.	Shredded securely
Personnel files and training files for leavers	Destroyed after final payroll	Shredded securely
Payroll (including bank details)	7 years	Deleted off BrightPay
Finances (invoices etc)	7 years	Shredded
PARTICIPANTS		
Electronic registration forms from new participants	Data automatically sent to database where retention monitored as below	Submitted data generates an admin email notification that is deleted once the submission is checked
CRM database records for current participants	Indefinitely until participant becomes inactive as below	
CRM database records for inactive participants	Data is retained for one year	Participants' records are anonymised, removing all personal information. This enables us to retain financial history.

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