

INFORMATION SERVICES

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ICT SYSTEMS

Records	Retention Period	Citations and Notes	Action
ICT Systems Strategy, Policy and Procedures Development			
Records documenting the development and establishment of UWTSD's ICT systems strategy and policies: key records.	Superseded + 5 years	JISC	Review
Records documenting the development and establishment of UWTSD's ICT systems strategy, policies and procedures: working papers.	Issue of document + 1 year	JISC	Destroy
Master copies of procedures relating to the management of ICT systems.	Superseded + 3 years	JISC	Review
ICT Systems Development			
Records documenting the initial development and post-implementation modification and maintenance of ICT systems.	Decommissioning of system + 5 years	JISC	Review
Records documenting the initial development of ICT systems which are not implemented.	Last action on development + 5 years	JISC	Destroy

Records	Retention Period	Citations and Notes	Action
Records documenting the management of ICT systems development projects (i.e. project management records).	Termination of project + 5 years	JISC	Destroy
ICT Systems Operations Management			
Routine monitoring and testing of the operation of ICT systems, and action taken to rectify problems and optimise performance.	Current year + 1 year	JISC	Destroy
Records documenting faults reported by users of ICT systems, and action taken to investigate and resolve the problem.	Last action on fault + 1 year	JISC	Destroy
Records documenting the management of system data storage, including the operation of routine data backup, archiving and deletion routines.	Current year + 1 year	JISC	Destroy
User requests to recover data from backup or archive stores, and action taken.	Last action on request + 3 months	JISC	Destroy
Records documenting the maintenance of appropriate software licences for live ICT systems.	Issue of new licence	JISC	Destroy

Records	Retention Period	Citations and Notes	Action
ICT Systems Security Management			
Records documenting the security arrangements for ICT systems.	Decommissioning of system + 5 years	JISC	Destroy
Records documenting the opening, maintenance and closure of user accounts for ICT systems.	Closure of account + 1 year	JISC	Destroy
Records documenting routine monitoring of the use of ICT systems to ensure compliance with legal requirements and UWTSD's policies.	Current year + 1 year	JISC	Destroy
Records documenting attempted or actual security breaches of UWTSD's ICT systems, and action taken.	Last action on incident + 1 year	JISC	Review
Requests for, and authorisation of, connections of third-party equipment to UWTSD's networks, either on UWTSD's premises or via dial-up communications links.	Termination of connection + 1 year	JISC	Destroy
Records documenting the removal/return of mobile ICT systems hardware and software from/to UWTSD's premises.	Return of equipment + 3 months	JISC	Destroy

Records	Retention Period	Citations and Notes	Action
Records documenting arrangements for the sanitisation of UWTSD's ICT equipment prior to disposal.	Disposal of equipment + 1 year	JISC	Destroy
ICT Systems Training			
Records documenting the development of technical and application training for ICT system users.	Superseded + 1 year	JISC	Destroy

PUBLICATIONS

Records	Retention Period	Citations and Notes	Action
Publications Strategy, Policy and Procedures Development			
Records documenting the development and establishment of UWTSD's publications strategy and policies: key records.	Superseded + 5 years	JISC	Review
Records documenting the development and establishment of UWTSD's publications strategy, policies and procedures: working papers.	Issue of document + 1 year	JISC	Destroy
Master copies of procedures relating to publications management.	Superseded + 3 years	JISC	Review
Publications Acquisition			
Records documenting the process of selecting publications to purchase.	Completion of purchase	JISC	Destroy
Records documenting decisions to (dis)continue purchase of publications.	Last action on issue + 1 year	JISC	Destroy
Publications Organisation			

Records	Retention Period	Citations and Notes	Action
Records documenting UWTSD's scheme(s) for classifying and cataloguing publications.	Until all catalogues based on the scheme are superseded	JISC	Destroy
Catalogues/indexes.	Superseded	JISC	Review
Publications Storage and Handling			
Records documenting the monitoring and control of storage conditions.	Current year + 1 year	JISC	Review
Records documenting the movement of items from/to storage.	Return of items + 1 year	JISC	Destroy
Publications Conservation			
Records documenting conservation work undertaken on publications.	Life of items	JISC	Archive
Publications Disposal			
Records documenting the authorisation for the disposal of redundant publications.	Disposal of publications + 1 year	JISC	Review
Publishing Strategy, Policy and Procedures Development			
Records documenting the development and establishment of	Superseded + 5 years	JISC	Review

Records	Retention Period	Citations and Notes	Action
UWTSD's publishing strategy and policies: key records.			
Records documenting the development and establishment of UWTSD's publishing strategy, policies and procedures: working papers.	Issue of document + 1 year	JISC	Destroy
Master copies of procedures relating to the management of publishing.	Superseded + 3 years	JISC	Review
Publication Production			
Records documenting the design, commissioning, editing and production of publications.	Issue of publication + 1 year	JISC	Destroy
Any UWTSD-authorised publication.	Permanent	Internal (2015)	Archive
Publication Distribution			
Records documenting the distribution of publications.	Current year + 1 year	JISC	Destroy
Publication Marketing			
Records documenting the development of marketing plans for publications.	Life of publication	JISC	Review

Records	Retention Period	Citations and Notes	Action
Management Information Collection			
Dataset specifications and protocols for submission and collation of data.	Superseded	JISC <i>If datasets are archived, dataset specifications and protocols should be archived with them.</i>	Review
Management Information Analysis and Reporting			
Management information reports.	Current year + 3 years	JISC	Destroy

COPYRIGHT

Records	Retention Period	Citations and Notes	Action
Copyright Compliance Administration			
Applications for permission to copy from published works which are not covered by Copyright Licensing Agency licences, where permission is not granted.	Last action on application + 1 year	JISC	Destroy
Applications for permission to copy from published works which are not covered by Copyright Licensing Agency licences, where permission is granted.	Period for which permission is granted + 6 years	Limitation Act 1980 c.58 s.5	Destroy
Records documenting the compilation of statistical and other data required by the Copyright Licensing Agency, and the submission of this data to the Agency.	Current year + 1 year	JISC	Destroy
Records documenting UWTSD's participation in surveys/audits undertaken by the Copyright Licensing Agency.	Completion of survey/audit	JISC	Destroy
Results of surveys/audits undertaken by the Copyright	Current + 5 years	JISC	Destroy

Records	Retention Period	Citations and Notes	Action
Licensing Agency (provided to UWTSD by the Agency).			
Records documenting UWTSD's participation in inspections undertaken by copyright owners or their representatives to check UWTSD's compliance with legal/contractual requirements.	Last action on case + 1 year	JISC	Destroy

INTELLECTUAL PROPERTY RIGHTS (IPR)

Records	Retention Period	Citations and Notes	Action
IPR Management Policy and Procedures Development			
Records documenting the development and establishment of UWTSD's IPR management policies: key records.	Superseded + 5 years	JISC	Review
Records documenting the development and establishment of UWTSD's IPR management policies and procedures: working papers.	Issue of document + 1 year	JISC	Destroy
Master copies of procedures relating to IPR management.	Superseded + 3 years	JISC	Review
IPR Protection			
Records documenting UWTSD's applications for patents and patent certificates.	Life of patent + 50 years	Legal opinion	Review
Records documenting UWTSD's applications for other forms of IPR protection (registered trademarks, registered designs) and certificates of registration.	End of registration + 6 years	Limitation Act 1980 c.58 s.5	Destroy

Records	Retention Period	Citations and Notes	Action
Applications for renewal of IPR protection, up to the maximum period permitted.	Life of patent/End of registration	JISC	Review
Routine monitoring of third-party activity to detect infringements of UWTSD's IPR.	Current year + 5 years	JISC	Destroy
Records documenting identified infringements of UWTSD's IPR, and action taken other than litigation.	Last action on case + 6 years	Limitation Act 1980 c.58 s.5	Review
IPR Exploitation Strategy, Policy and Procedures Development			
Records documenting the development and establishment of UWTSD's IPR exploitation strategy and policies: key records.	Superseded + 10 years	JISC	Review
Records documenting the development and establishment of UWTSD's IPR exploitation strategy, policies and procedures: working papers.	Issue of document + 1 year	JISC	Destroy
Master copies of procedures relating to IPR exploitation.	Superseded + 5 years	JISC	Review
IPR Assignment			

Records	Retention Period	Citations and Notes	Action
Records documenting the negotiation and completion of IPR assignments to third parties.	Life of IPR + 6 years	Limitation Act 1980 c.58 s.5	Destroy
IPR Licensing			
Records documenting the negotiation and completion of IPR licence agreements to third parties.	Termination of licence + 6 years	Limitation Act 1980 c.58 s.5	Destroy

CONSULTANCY

Records	Retention Period	Citations and Notes	Action
Consultancy Strategy, Policy and Procedures Development			
Records documenting the development and establishment of UWTSD's consultancy strategy and policies: key records.	Superseded + 5 years	JISC	Review
Records documenting the development and establishment of UWTSD's consultancy strategy, policies and procedures: working papers.	Issue of document + 1 year	JISC	Destroy
Master copies of procedures relating to consultancy.	Superseded + 3 years	JISC	Review
Consultancy Promotion			
Directories of expertise.	Current	JISC	Destroy
Consultancy Prospect Management			
Records documenting the handling of enquiries about consultancy, where no further action is taken.	Last action on enquiry + 1 year	JISC	Destroy
Records documenting the preparation and submission of consultancy proposals/tenders,	Receipt of notification that proposal/tender was unsuccessful + 1 year	JISC	Destroy

Records	Retention Period	Citations and Notes	Action
where the proposal/tender is unsuccessful (i.e. does not result in a contract).			
Records documenting the preparation and submission of consultancy proposals/tenders, where the proposal/tender is successful (i.e. results in a contract): key records.	Termination of contract + 6 years	Limitation Act 1980 c.58 s.5	Destroy
Consultancy Contract Management			
Records documenting the negotiation and agreement of contracts, and subsequent variations to contracts: key records.	Termination of contract + 6 years	Limitation Act 1980 c.58 s.5	Review
Records documenting the negotiation and agreement of contracts, and subsequent variations to contracts: working papers.	Agreement of contract	JISC	Destroy
Consultancy Project Management			
Records documenting the management of consultancy projects: key records.	Termination of contract + 3 years	Common audit requirement	Review
Records documenting the management of consultancy	Termination of contract	JISC	Destroy

Records	Retention Period	Citations and Notes	Action
projects, scheduling of meetings, interviews, deliverables/outcomes, draft versions and other project work: working papers.			
Consultancy Project Delivery			
Records documenting substantive project work.	Termination of contract + 3 years	Common audit requirement <i>Information/records provided by clients may be returned to them at the end of projects.</i>	Destroy
Records documenting project deliverables/outcomes: final versions and confirmations of client acceptance.	Termination of contract + 6 years	Limitation Act 1980 c.58 s.5	Destroy

RELATED COMPANIES

Records	Retention Period	Citations and Notes	Action
Related Companies Strategy, Policy and Procedures Development			
Records documenting the development and establishment of UWTSD's related companies strategy and policies: key records.	Superseded + 10 years	JISC	Review
Records documenting the development and establishment of UWTSD's related companies strategy, policies and procedures: working papers.	Issue of document + 1 year	JISC	Destroy
Master copies of procedures relating to related companies.	Superseded + 3 years	JISC	Review

COMMERCIAL SERVICES MANAGEMENT

Records	Retention Period	Citations and Notes	Action
Commercial Services Management Strategy, Policy and Procedures Development			
Records documenting the development and establishment of UWTSD's commercial services strategy and policies: key records.	Superseded + 5 years	JISC	Review
Records documenting the development and establishment of UWTSD's commercial services strategy, policies and procedures: working papers.	Issue of document + 1 year	JISC	Destroy
Master copies of procedures relating to the management of commercial services.	Superseded + 3 years	JISC	Review

INFORMATION STRATEGY AND DATA PROTECTION

Records	Retention Period	Citations and Notes	Action
Information Compliance Strategy, Policy and Procedures Development			
Records documenting the development and establishment of UWTSD's information compliance strategy and policies: key records.	Superseded + 5 years	JISC	Review
Records documenting the development and establishment of UWTSD's information compliance strategy, policies and procedures: working papers.	Issue of document + 1 year	JISC	Destroy
Master copies of procedures relating to information compliance.	Superseded + 3 years	JISC	Review
Data Protection Compliance			
UWTSD's notification of data controller details (to be added to the public register of data controllers) to the Information Commissioner's Office, as required by the Data Protection Act 2018.	Current year + 1 year	JISC	Destroy
Records documenting the handling of requests for access to personal information held by UWTSD under	Last action on request + 1 year	JISC	Destroy

Records	Retention Period	Citations and Notes	Action
the General Data Protection Regulation (GDPR).		<i>A longer retention period may be appropriate for records documenting the handling of requests which resulted in complaints or appeals.</i>	
(Anonymised) statistics, analyses and reports of requests for access to personal information held by UWTSD under current data protection laws (the Data Protection Act 2018 and General Data Protection Regulation (GDPR) (EU) 2016/679).	Current year + 10 years	JISC	Destroy
Privacy notices.	Conclusion of the activity to which the privacy notice relates + 6 years	GDPR 5(1) (e) Limitation Act 1980	Destroy

FREEDOM OF INFORMATION

Records	Retention Period	Citations and Notes	Action
Freedom of Information Compliance			
Records documenting the development and maintenance of UWTSD's Publication Scheme, as required by the Freedom of Information Act 2000 (c. 36).	Completion of revision of Publication Scheme + 5 years	Freedom of Information Act 2000	Destroy
Records documenting the handling of requests for information held by UWTSD, made under the Freedom of Information Act 2000 (c. 36).	Completion of request handling process + 3 years	<p>Freedom of Information Act 2000</p> <p><i>Records (or information extracted from them) relating to cases which set legal precedents, or which establish principles for handling requests for certain types of information should be kept for longer, possibly as part of policy development records.</i></p> <p><i>A request handling process is completed when the request has been fulfilled or when all complaints and/or appeals (against non-disclosure of information or methods of handling the request) have been determined.</i></p>	Destroy
(Anonymised) management statistics, analyses and reports of	Current year + 10 years	Freedom of Information Act 2000	Destroy

Records	Retention Period	Citations and Notes	Action
requests for information held by UWTSD, made under the Freedom of Information Act 2000 (c. 36).			

ENVIRONMENTAL INFORMATION COMPLIANCE

Records	Retention Period	Citations and Notes	Action
Environmental Information Compliance			
Records documenting the handling of requests for environmental information held by UWTSD, made under the Environmental Information Regulations 2004 (SI 2004/3391).	Completion of request handling process + 3 years	Freedom of Information Act 2000. <i>Records (or information extracted from them) relating to cases which set legal precedents or which establish principles for handling requests for certain types of information should be kept for longer, possibly as part of policy development records.</i>	Destroy
(Anonymised) management statistics, analyses and reports of requests for environmental information held by UWTSD, made under the Environmental Information Regulations 2004 (SI 2004/3391).	Current year + 10 years	Freedom of Information Act 2000	Destroy

RECORDS MANAGEMENT

Records	Retention Period	Citations and Notes	Action
Records Management Strategy, Policy and Procedures Development			
Records documenting the development and establishment of UWTSD's records management strategy and policies: key records.	Superseded + 5 years	JISC	Review
Records documenting the development and establishment of UWTSD's records management strategy, policies and procedures: working papers.	Issue of document + 1 year	JISC	Destroy
Master copies of procedures relating to records management.	Superseded + 3 years	JISC	Review
Records Creation and Capture			
Records documenting recordkeeping requirements for specific business activities and processes.	Superseded	JISC	Destroy
Records Organisation and Description			
Records documenting classification and indexing schemes for records.	Superseded + 5 years	JISC	Review
Records Storage and Handling			

Records	Retention Period	Citations and Notes	Action
Records documenting storage locations of records.	Superseded	JISC	Review
Records documenting the movement of records to/from storage.	Return of records + 1 year	JISC	Review
Records Access Control			
Records documenting the provision of access to records.	Date of access + 1 year	JISC	Review
Records Retention			
Records documenting the determination of retention periods for records.	Completion of revised Records Retention Schedule + 1 year	JISC	Destroy
Final versions of Records Retention Schedules.	Permanent	JISC	Archive
Review of individual records to determine requirements for ongoing retention, where records are disposed of.	Life of records + 25 years	JISC	Review
Records Maintenance			
Records documenting conservation work undertaken on records.	Disposal of records	JISC	Archive

Records	Retention Period	Citations and Notes	Action
Records Disposal			
Records documenting authorisation for the disposal of redundant records.	Disposal of records + 25 years	JISC	Destroy
Records Survey/Audit			
Records documenting the conduct and results of records surveys/audits.	Completion of subsequent survey/audit	JISC	Review

ARCHIVES

Records	Retention Period	Citations and Notes	Action
Archives Strategy, Policy and Procedures Development			
Records documenting the development and establishment of UWTSD's archives strategy and policies: key records.	Superseded + 5 years	JISC	Review
Records documenting the development and establishment of UWTSD's archives strategy, policies and procedures: working papers.	Issue of document + 1 year	JISC	Destroy
Master copies of procedures relating to archives management.	Superseded + 3 years	JISC	Review
Archives Acquisition			
Records documenting the development and establishment of the selection criteria for records to be preserved as archives.	Life of archives	JISC	Archive
Records documenting the appraisal, selection and acquisition of records for preservation as institutional archives.	Life of records	JISC	Archive

Records	Retention Period	Citations and Notes	Action
Records documenting the accessioning of records acquired for preservation as archives.	Life of archives	JISC	Archive
Archives Organisation and Description			
Records documenting UWTSD's scheme of arrangement for its archives.	Life of records arranged according to the scheme	JISC	Archive
Records documenting the development of UWTSD's standard descriptive model for its archives.	Life of records described using the model	JISC	Archive
Records containing the descriptions of the records held as archives.	Life of records	JISC	Archive
Archives Storage and Handling			
Records documenting the monitoring and control of the storage of archives.	Current year + 1 year	JISC	Review
Records documenting the movement of archives from/to storage.	Return of items + 1 year	JISC	Destroy
Archives Access Control			
Requests for access to archives.	Last action on request + 1 year	JISC	Destroy

Records	Retention Period	Citations and Notes	Action
Archives Conservation			
Records documenting conservation work undertaken on items in the archives.	Life of records	JISC	Archive
Archives Disposal			
Records documenting authorisation for the disposal of de-accessioned records.	Completion of disposal process + 6 years	Limitation Act 1980 c.58 s.5	Review
Archives Promotion and Exploitation			
Records documenting the development and maintenance of specialised finding aids to promote and facilitate access to (items in) the archives.	Superseded	JISC	Review
Records documenting the design and distribution of promotional materials to raise awareness and encourage use of (items in) the archives.	Superseded	JISC	Review
Records documenting enquiries about (items in) the archives, and the responses provided.	Last action on enquiry + 1 year	JISC	Destroy

Records	Retention Period	Citations and Notes	Action
		<i>Key information from substantive enquiries may be extracted and indexed to avoid repetitive research.</i>	
Records documenting the selection and use of items from the archives by UWTSD staff (e.g. for teaching events, publications, exhibitions).	Current + 5 years	JISC	Review
Records documenting the selection and use of items from the archives by third parties (e.g. for exhibitions, publications, television programmes).	Last action on project + 5 years	JISC	Destroy
Records documenting loans of items from the archives to third parties.	Termination of loan + 6 years	Limitation Act 1980 c.58 s.5	Destroy

COLLECTIONS

Records	Retention Period	Citations and Notes	Action
Collections Strategy, Policy and Procedures Development			
Records documenting the development and establishment of UWTSD's collections strategy and policies: key records.	Superseded + 5 years	JISC	Review
Records documenting the development and establishment of UWTSD's collections strategy, policies and procedures: working papers.	Issue of document + 1 year	JISC	Destroy
Master copies of procedures relating to collections management.	Superseded + 3 years	JISC	Review
Collections Promotion			
Records documenting the design and development of promotional materials.	While materials are current	JISC <i>Select significant materials for permanent retention.</i>	Review
Records documenting the design and implementation of promotional events.	Last action on event + 5 years	JISC <i>Select key records of significant events for permanent retention.</i>	Review

Records	Retention Period	Citations and Notes	Action
Enquiries about collections and the responses given.	Last action on enquiry + 1 year	JISC <i>Key information from substantive enquiries may be extracted and indexed to avoid repetitive research.</i>	Destroy
Collections Use			
Records documenting the receipt and evaluation of requests/proposals for use of collections or objects, where the requests/proposals are rejected.	Last action on request/proposal + 1 year	JISC	Destroy
Records documenting the receipt and evaluation of requests/proposals for use of collections or objects, where the requests/proposals are authorised.	Completion of use + 5 years	JISC	Destroy
Records documenting the authorised use of collections or objects, and actions taken to facilitate, monitor or control use (e.g. checking environmental conditions, handling/operating objects; taking samples from objects).	Completion of use + 5 years	JISC <i>Information about actions which have a direct impact on the condition of objects should be recorded in the object's catalogue record.</i>	Destroy

OBJECTS

Records	Retention Period	Citations and Notes	Action
Object Receipt			
Records documenting the receipt of objects which are not currently part of UWTSD's collections.	Current year + 10 years	JISC	Destroy
Object Borrowing			
Records documenting loans of objects to UWTSD by other organisations or by individuals.	Permanent	https://collectionstrust.org.uk/wp-content/uploads/2016/09/Loans-in-spectrum-factsheet-2015.pdf Spectrum Advice, Collections Trust, Version 4.0, Jan 2015, Section 6.	Archive
Object Acquisition			
Records documenting the acquisition of objects for UWTSD's collections.	Permanent	https://collectionstrust.org.uk/wp-content/uploads/2016/11/Acquisition-spectrum-factsheet-2015.pdf Spectrum Advice, Collections Trust, Version 4.0, Jan 2015, Section 4.	Archive
Object Location and Movement Control			
Records documenting the location and movement of objects within UWTSD's premises.	Permanent	https://collectionstrust.org.uk/wp-content/uploads/2016/11/Acquisition-spectrum-factsheet-2015.pdf	Archive

Records	Retention Period	Citations and Notes	Action
		Spectrum Advice, Collections Trust, Version 4.0, Jan 2015, Section 4.	
Object Cataloguing			
Records documenting key information about objects in UWTSD's collections.	Permanent	https://collectionstrust.org.uk/wp-content/uploads/2016/11/Acquisition-spectrum-factsheet-2015.pdf Spectrum Advice, Collections Trust, Version 4.0, Jan 2015, Section 4.	Archive
Object Dispatch			
Records documenting objects which have left UWTSD's premises.	Return of item + 10 years	JISC	Destroy
Object Lending			
Records documenting loans of objects to other organisations or to individuals.	Return of loaned item + 10 years	JISC	Destroy