



UNIVERSITY OF LIMPOPO
**FILE PLAN AND
DISPOSAL SCHEDULE**



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EXECUTIVE SUMMARY

The quality of services that the university provides to students, staff, clients, the community and stakeholders depends on how well records are created, stored, retrieved, used, managed, maintained and legally disposed to meet compliance obligations. The University of Limpopo (UL) File Plan and Disposal Schedule is developed in response to the National Archives and Records Service of South Africa Act (Act No. 43 of 1996, as amended), the Promotion of Access to Information Act (No 2 of 2000) (PAIA), the Promotion of Administrative Justice Act (Act no 3 of 2000), the Protection of Personal Information Act (Act No 4 of 2013), the South African National Standard for Records Management (SANS 15489), the International Standard for Records Management (ISO15489), together with the Constitution of the Republic of South Africa Act (Act No 108 of 1996) and other applicable legislation.

As provided for in section 13 of the National Archives and Records Service of South Africa Act (Act No 43 of 1996), the UL File Plan and disposal Schedule has been earmarked to promote a sound records management system and transparency, and to ensure that the integrity of University records is protected for as long as they are required as evidence of business operations.

Each records series / block numbers listed on this File Plan and Disposal Schedule has specific disposition instructions that indicate how long the series must be kept in office. In some cases, disposition instructions are simply "Permanently preserve (A)," which means that those records must be kept in office forever physically or electronically. In other cases, the retention period may be "Preserve and destroy 5 years after the case is finalised (D5)." The university must establish and enforce internal policies to ensure that listed records retention periods are enforced.

The University of Limpopo staff and students are urged to adhere to and to familiarise themselves with records management best practices and principles as outlined in the UL File Plan and Disposal Schedule. Non-adherence to official records retention schedules and unauthorised access to records leading to loss of official records may have serious legal and reputational implications for the University.

1. INTRODUCTION

This file plan is solely developed to be utilised by the University of Limpopo as a standard proper record-keeping guidance measure for all records. It will ensure that records are easily accessible, retrievable and only kept for as long as they are needed. The file plan should be read in conjunction with the University Records Management Policy Framework and it is not applicable to other institutions. Its reuse or printing without proper written authorisation from the UL Records Manager is prohibited.

1.1. FILE PLAN GOALS

The University file plan aims to achieve the following goals:

- To provide a systematic framework for the classification of all University records, i.e., active, semi-active and inactive;
- To ensure and effect orderly records filling system practices and retrievals;
- To guarantee that records are retained, destroyed or preserved in accordance with all legal and fiscal requirements, archival value, and operational needs;
- To reduce the volume of records in the offices by providing essential guidelines on the retention and destruction/disposal of records;
- To differentiate between an official University record and a convenience copy or duplicate record; and
- To provide user friendly standardised filing system.

2. FILE PLAN GENERAL FEATURES

2.1. Subject Classification

The file plan consists of a subjects classification system. Records are classified by the main subject. The main subject group are, viz., Governance, Management, Human Resource, Finance, Facilities, Branding, Marketing and Communication, Student Affairs, Administration and Systems, Teaching and Learning, Research Development and Innovations and Skills Implementation.

2.2. Block Numeric Filling System

Block numeric filling system has been incorporated within the file plan. Each main subject group has been assigned a block of classification numbers, i.e., sub-subject group and a unique number. Provision has further been made in the main subject for policy activities emanating in that field. The files are identified by the symbol "P".

2.3. Amendments and Additions

All initiated/proposed amendments to the file plan must be submitted to the Records Manager for approval. Block numeric numbers may not be changed or altered without approval. An exception or provision may be granted for a subject that initially does not receive sufficient records to warrant separate files being opened for each it in the file plan.

2.4. Opening of Files and File Covers Descriptions

Files should be opened only when required, i.e., do not open a file if you do not generate or receive records on the subject. Adherence to authorised file numbering system and description is mandatory.

2.5. Records Retention and Disposal

Adherence to outlined retention periods relate to all records in the file plan, regardless of the format in which they are stored is essential. The retention periods guide as to best records practice and they should be read in conjunction with the University Records Management Policy and File plan. No records may be disposed of without the necessary disposal authority, i.e., a written authority specifying records to be electronically archived or destroyed as outlined in the UL Records Management Policy. The following disposal symbols must be effected:

- “A” Print/Electronic records must be permanently preserved and kept on an off-site storage or electronically archived with complete records management capabilities implemented to manage electronic/print records.
- “D2 or D6” etc. Delete/Shred records after the number of years reflected. Records must be kept on off-site storage and destruction will commence as per the retention schedule.
- “DAU5” Destroy 5 years after financial auditing is finalised. Records must be kept on an off-site storage and destruction will commence as per the retention schedule.

3. BLOCK NUMBERS AND MAIN SUBJECT GROUPS LIST

Block Numbers	Main Subject Group
P	POLICIES
1.	GOVERNANCE
2.	MANAGEMENT
3.	HUMAN RESOURCE
4	FINANCE
5.	FACILITIES
6.	BRANDING, MARKETING AND COMMUNICATION
7.	STUDENT AFFAIRS, ADMINISTRATION AND SYSTEMS
8.	TEACHING AND LEARNING
9.	RESEARCH DEVELOPMENT AND INNOVATIONS
10.	SKILLS IMPLEMENTATION

3.1. MAIN SUBJECT AND SUB-SUBJECT

1.

GOVERNANCE

- 1.1. Legislation and Related Administrative Processes.
- 1.2. The University of Limpopo Statute.
- 1.3. Governance Structures as per UL Statute.
- 1.4. Statutory Appointments.
- 1.5. Statutory Bodies.
- 1.6. Legislative Prescribed Committees.
- 1.7. The University of Limpopo Quarterly and Annual Report.
- 1.8. National and International Associations.
- 1.9. Professional Bodies, Companies and Associations.
- 1.10. Higher Education Sector Landscape.
- 1.11. Government Departments.
- 1.12. Religious Organisations

2.

MANAGEMENT

- 2.1. University Management Structures.
- 2.2. Quality Assurance and Management.
- 2.3. Strategic Planning and Performance Monitoring.
- 2.4. International Relation.
- 2.5. Internal Audit.
- 2.6. Legal Matters.
- 2.7. Library and Information Services Management.
- 2.8. Records Management.
- 2.9. Examinations and Timetables Management.
- 2.10. Graduation Management.
- 2.11. Counselling and Development Management.
- 2.12. Higher Education HIV/AIDS (HEAIDS) Programme Management.
- 2.13. Language Management.
- 2.14. Information Management.
- 2.15. Project Implementation and Management.

2.16. Operational Management.

3.

HUMAN RESOURCE

- 3.1. Recruitment and Selection.
- 3.2. Appointments and Relocation.
- 3.3. Resignations and Retirements.
- 3.4. Remuneration.
- 3.5. Employees Benefits.
- 3.6. Employment Equity.
- 3.7. Promotion of Academic Staff.
- 3.8. Organisational Development and Talent Management.
- 3.9. Performance Management.
- 3.10. Labour Relations.
- 3.11. Employees Assistance Programme.
- 3.12. Employees Health and Wellness.
- 3.13. Statistics and Analysis.
- 3.14. System Administration and Operating Licenses.

4.

FINANCE

- 4.1. Income Management.
- 4.2. Expenditure Management.
- 4.3. Assets Management.
- 4.4. Insurance Management.
- 4.5. Investments and Cash Flow Administration.
- 4.6. Budget Management.
- 4.7. Bursaries Administration.

5. FACILITIES

- 5.1. Transport Services Management.
- 5.2. Information Technology Management
- 5.3. Buildings and Physical Structures.
- 5.4. Facilities Management.
- 5.5. Residence Management.
- 5.6. Maintenance Service Management.

6. BRANDING, MARKETING AND COMMUNICATION

- 6.1. Brand Management.
- 6.2. Communication Management.
- 6.3. Fundraising Management.
- 6.4. Stakeholders Relations.
- 6.5. Student Recruitment Management.
- 6.6. Alumni and Convocation Management.

7. STUDENT AFFAIRS, ADMINISTRATION AND SYSTEMS

- 7.1. Academic Administration.
- 7.2. Student Registration and Records.
- 7.3. Termination of Studies.
- 7.4. Class Attendance and Assessments.
- 7.5. Examinations and Results Administration.
- 7.6. Counselling Services.
- 7.7. Culture Management.
- 7.8. Health Care Services and Wellness.
- 7.9. Careers Services and Academic Advising.
- 7.10. Student Discipline/Conduct Standards.
- 7.11. Sports/ Recreation/Intramurals.

7.12. Student Administrative Systems Management.

7.13. Graduation Management.

8.

TEACHING AND LEARNING

8.1. Study Programme Management

8.2. Short Course Management.

8.3. Student Academic Development and Monitoring.

8.4. Student Throughput.

8.5. Academic Staff Development Management

9.

RESEARCH DEVELOPMENT AND INNOVATIONS

9.1. Research Funding Management.

9.2. Research Capacity Development.

9.3. Implementation of Research Innovation Strategy.

9.4. Postgraduate Studies Management.

10.

SKILLS IMPLEMENTATION

10.1. Community Engagement Programme Management.

10.2. Professional Expertise and Resource Sharing.

10.3. Innovative Dedicated Activities.

10.4. Social and Life Skills Programme.

10.5. Knowledge Sharing and Commercialisation.

10.6. Self-Development and Students Recruitment.

FILE CODE P	RECORD SERIES POLICIES
1P	1P.1. Language Policy 1P.1.2. Private Work Policy 1P.1.2.3. Teaching and Learning Policy 1P.1.2.4. Admission Policy 1P.1.2.5. Certification Policy 1P.1.2.6. Intellectual Property Policy 1P.1.2.7. General Academic Rules 1P.1.2.8. Research Associates Policy 1P.1.2.9. Plagiarism Policy 1P.1.2.10. Students Living with Disabilities Policy 1P.2. Remuneration Policy 1P.2.1 Employment Equity Policy 1P.2.2. Academic Staff Promotion Policy 1P.2.3. Performance Management Policy 1P.2.4. Staff Development Policy 1P.2.5. Disciplinary Policy 1P.2.6. Internship Policy 1P.2.7. Code of Ethics and Conduct 1P.2.8. Medical Aid Policy 1P.3.1. Information Communication Policy 1P.3.2. Advertising Policy 1P.3.3. Events Management Policy 1P.3.4. Media Relation Policy 1P.3.5. Publication Policy 1P.3.6. Student Recruitment and Marketing Policy 1P.3.7. Website Policy

	1P.4. Student Residence Policy 1P.4.1. Staff Residence Policy 1P.5. HIV and AIDS Policy 1P.6. Library Policy 1P.7. Records Management Policy 1P.8. Whistle-blower Policy 1P.9. Sexual Harassment Policy 1P.10. Patent Policy
2P	PROCEDURES, MANUALS, GUIDELINES AND STRATEGIES
	2P.1. Promotion of Access to Information Manual 2P.1.2. Occupational Health and Safety 2P.1.3. Conflict of Interest Policy; Procedure and Disclosure 2P.1.4. Conditions of service 2P.1.4.1. Recruitment and selection procedure 2P.1.4.2. Job description guide 2P.1.4.3. Probation guidelines 2P.1.4.4. Summary of the Rules of the UL Pension Fund 2P.1.4.5. Summary of the Rules of the Group Life Scheme 2P.1.4.6. Internship Programme Guidelines 2P.1.4.7. Procedure for fixed-term appointments 2P.1.4.8. Procedure for the appointment of extraordinary staff and honorary professors 2P.1.4.9. Manual for performance management 2P.1.4.10. Procedure for the promotion of academic staff 2P.1.4.11. Remuneration management manual 2P.1.4.12. Remuneration for part-time personnel 2P.1.4.13. Employee grievance policy and procedure 2P.1.4.14. Harassment procedure 2P.1.4.15. Procedure for the management of incapacity

	2P.1.4.16. Suspension procedure 2P.1.4.17. Disciplinary code and procedure • All original policies approved by Council and procedures updated will be electronically archived by the Records Management Unit. • For easy access policies and procedures will be uploaded on the Intranet by the University Web developer, who is further responsible to update website content regularly. • Superseded and revised policies and procedures will be disposed of by the Records Manager. • UL Staff members are encouraged to keep and implement approved updated UL policies and procedures. • Divisions, Departments, Units, Schools, Faculty and Section Managers/ HODs must ensure that staff members within their divisions keep and implement updated policies and procedures. <i>NB: Retention period for superseded policy/procedure is 6 years after every update. Disposition Method: Delete/Shred</i>
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Number	Description	Retention Period	Office Responsible for the Original Document	Disposal Method	Other Offices Disposal Timeline
1. GOVERNANCE					
<i>This main subject is used for the management of records related to governance issues, records originating from legislation, UL Statute and Council.</i>					
1.1. Legislation and Related Administrative Processes.					
1.1.1.	<u>Higher Education Act, 101 of 1997</u> - Legislations - Correspondences - Declaration of interest forms - Meeting attendance registers	Permanently preserve (A)	Records Manager: Reporting to the University Registrar	Archive electronically/ in Print	Delete/Shred after 1 year
1.1.2.	<u>Intellectual Property Rights from Publicly Finances Research and Development Act, 51 of 2008</u> - Policy - Legislation - Reported cases - Patent registration list - Non- patent cases	Permanently preserve (A)	Deputy Vice-Chancellor; Research, Innovations and Partnerships: Reporting to the Vice-Chancellor	Archive electronically/ in Print	Delete/Shred after 3 year
1.1.3.	<u>Protection Of Personal Information Act, 4 of 2013</u> - Correspondences - Legislations - Reports - Request forms - Submissions	Permanently preserve (A)	Records Manager: Reporting to the University Registrar	Archive electronically/ in Print	Delete/Shred after 3 year

1.1.4.	<u>Promotion of Access to Information Act, 2 of 2000</u> • Request forms • Communications • Legislation • Reports • Submissions	Permanently preserve (A)	Records Manager: Reporting to the University Registrar	Archive electronically/ in Print	Delete/Shred after 3 year
1.1.5.	<u>Legal Deposit Act, 54 of 1997</u> • Legislations • Allocated ISBN Numbers • Correspondences • Evidence of Deposits	Preserve for 5 years (D5)	Executive Director Libraries: Reporting to the Deputy Vice-Chancellor; Research, Innovations and Partnerships	Delete/Shred information after 5 years	Delete/Shred after 5 year
1.1.6.	<u>Employment Equity Act, 55 of 1998</u> • Compliance Reports • Correspondences • Legislation	Preserve for 5 years (D5)	Director Organisational Development and Talent Management: Reporting to the Chief Human Resources Officer	Delete/Shred information after 5 years	Delete/Shred after 1 year
1.1.7.	<u>Skills Development Act, 97 of 1998</u> • Skills workplace plan • Skills development findings reports • Legislation • Scheduled annual training report	Preserve for 5 years (D5)	Director Organisational Development and Talent Management: Reporting to the Chief Human Resources Officer	Delete/Shred information after 5 years	Delete/Shred after 1 year

1.1.8.	<u>Commissioner of Oaths Act, 16 of 1963</u> • Correspondences • Legislations • Official stamps • Training • Letters	Permanently preserve (A)	Deputy Registrar: Reporting to the University Registrar	Archive electronically/ in Print	Delete/Shred after 3 year
1.1.9.	<u>Consumer Protection Act, 68 of 2008</u> • Disclosure correspondences • Marketing annual reports • Legislation • Complaints • Resolutions • Evidence of deposits	Permanently preserve (A)	Records Manager: Reporting to the University Registrar	Archive electronically/ in Print	Delete/Shred after 3 year
1.1.10.	<u>Occupational Health and Safety Act, 85 of 1993</u> • Legislations • Risk register • Inspections reports • Training reports • Medical and hazardous incident reports • Emergency workplace plan • Construction and risk assessment reports • Compliance evidence	Permanently preserve (A)	Occupational Health and Safety Officer: Reporting to the Chief Human Resources Officer	Archive electronically/ in Print	Delete/Shred after 3 year
1.1.11.	<u>Broad-Based Black Economic Empowerment Act, 53 of 2003</u> • Legislation • Forms • Correspondences and submissions • Compliance and verification reports • BEE Scorecards	Preserve for 5 years (D5)	Director Organisational Development and Talent Management: Reporting to the Chief Human Resources Officer	Delete/Shred information after 5 years	Delete/Shred after 1 year

1.2. The University of Limpopo Statute.					
1.2.1.	The University of Limpopo Statute.	Permanently preserve (A)	Records Manager: Reporting to the University Registrar	Archive electronically/ in Print	Delete/Shred as needed
1.3. Governance Structures as per UL Statute					
1.3.1.	<u>Council</u> • Membership list and matters • Term of reference • Attendance register • Declaration of interest • Nomination forms • Committee appointment letters • Members pictures • Correspondence • Agenda and minutes • Rules • Honorary awards	Permanently preserve (A)	University Registrar: Reporting to the Vice-Chancellor	Archive electronically/ in Print	Delete/Shred after 1 year
1.3.2.	<u>Executive Committee of Council</u> • Membership list and matters • Term of reference • Attendance register • Declaration of interest • Correspondence • Agenda and minutes	Permanently preserve (A)	University Registrar: Reporting to the Vice-Chancellor	Archive electronically/ in Print	Delete/Shred after 1 year
1.3.3.	<u>Executive Management Committee</u> • Membership list and matters • Term of reference • Attendance register • Declaration of interest • Correspondence • Agenda and minutes	Permanently preserve (A)	University Registrar: Reporting to the Vice-Chancellor	Archive electronically/ in Print	Delete/Shred after 1 year

1.3.4.	<u>Audit Committee of Council</u> • Membership list and matters • Term of reference • Attendance register • Declaration of interest • Correspondence • Agenda and minutes	Permanently preserve (A)	University Registrar: Reporting to the Vice-Chancellor	Archive electronically/ in Print	Delete/Shred after 1 year
1.3.5.	<u>Finance Committee of Council</u> • Membership list and matters • Term of reference • Attendance register • Declaration of interest • Correspondence • Agenda and minutes	Permanently preserve (A)	University Registrar: Reporting to the Vice-Chancellor	Archive electronically/ in Print	Delete/Shred after 1 year
1.3.6.	<u>Human Resource Committee of Council</u> • Membership list and matters • Term of reference • Attendance register • Declaration of interest • Correspondence • Agenda and minutes	Permanently preserve (A)	University Registrar: Reporting to the Vice-Chancellor	Archive electronically/ in Print	Delete/Shred after 1 year
1.3.7.	<u>Information and Communication Technology Committee of Council</u> • Membership list and matters • Term of reference • Attendance register • Declaration of interest • Correspondence • Agenda and minutes	Permanently preserve (A)	University Registrar: Reporting to the Vice-Chancellor	Archive electronically/ in print	Delete/Shred after 1 year
1.3.8.	<u>Joint Tender and Physical Planning Committee</u> • Membership list and matters • Term of reference • Attendance register • Declaration of interest	Permanently preserve (A)	University Registrar: Reporting to the Vice-Chancellor	Archive electronically/ in print	Delete/Shred after 1 year

	• Correspondence • Agenda and minutes				
1.3.9.	<u>Remuneration Committee of Council</u> • Membership list and matters • Term of reference • Attendance register • Declaration of interest • Correspondence • Agenda and minutes	Permanently preserve (A)	University Registrar: Reporting to the Vice-Chancellor	Archive electronically/ in print	Delete/Shred after 1 year
1.3.10.	<u>Executive Committee of Senate</u> • Membership list and matters • Term of reference • Attendance register • Declaration of interest • Correspondence • Agenda and minutes	Permanently preserve (A)	Assistant Registrar Secretariat: Reporting to the University Registrar	Archive electronically/ in print	Delete/Shred after 1 year
1.3.11.	<u>Senate</u> • Membership list and matters • Term of reference • Attendance register • Declaration of interest • Correspondence • Agenda and minutes	Permanently preserve (A)	Assistant Registrar Secretariat: Reporting to the University Registrar	Archive electronically/ in print	Delete/Shred after 1 year
1.3.12.	<u>Senate Academic Planning Committee</u> • Membership list and matters • Term of reference • Attendance register • Declaration of interest • Correspondence • Agenda and minutes	Permanently preserve (A)	Assistant Registrar Secretariat: Reporting to the University Registrar	Archive electronically/ in print	Delete/Shred after 1 year
1.3.13.	<u>Central Higher Degrees Committee</u> • Membership list and matters • Term of reference • Attendance register • Declaration of interest • Correspondence	Permanently preserve (A)	Assistant Registrar Secretariat: Reporting to the University Registrar	Archive electronically/ in print	Delete/Shred after 1 year

	• Agenda and minutes				
1.3.14.	<u>Senate Library and Information Services Committee</u> • Membership list and matters • Term of reference • Attendance register • Declaration of interest • Correspondence • Agenda and minutes	Permanently preserve (A)	Assistant Registrar Secretariat: Reporting to the University Registrar	Archive electronically/ in print	Delete/Shred after 1 year
1.3.15.	<u>Senate Teaching and Learning Committee</u> • Membership list and matters • Term of reference • Attendance register • Declaration of interest • Correspondence • Agenda and minutes.	Permanently preserve (A)	Assistant Registrar Secretariat: Reporting to the University Registrar	Archive electronically/ in print	Delete/Shred after 1 year
1.3.16.	<u>Senate Committee for Persons Living With Disabilities</u> • Membership list and matters • Term of reference • Attendance register • Declaration of interest • Correspondence • Agenda and minutes	Permanently preserve (A)	Assistant Registrar Secretariat: Reporting to the University Registrar	Archive electronically/ in print	Delete/Shred after 1 year
1.3.17.	<u>Senate Community Engagements Committee</u> • Membership list and matters • Term of reference • Attendance register • Declaration of interest • Correspondence • Agenda and minutes	Permanently preserve (A)	Assistant Registrar Secretariat: Reporting to the University Registrar	Archive electronically/ in print	Delete/Shred after 1 year

1.3.18.	<u>Information and Communication Technology of Senate</u> • Membership list and matters • Term of reference • Attendance register • Declaration of interest • Correspondence • Agenda and minutes • •	Permanently preserve (A)	Assistant Registrar Secretariat: Reporting to the University Registrar	Archive electronically/ in print	Delete/Shred after 1 year
1.3.19.	<u>Senate Appeals Committee</u> • Membership list and matters • Term of reference • Attendance register • Declaration of interest • Correspondence • Agenda and minutes	Permanently preserve (A)	Assistant Registrar Secretariat: Reporting to the University Registrar	Archive electronically	Delete/Shred after 1 year
1.3.20.	<u>Senate Research and Ethics Committee</u> • Membership list and matters • Term of reference • Attendance register • Declaration of interest • Correspondence • Agenda and minutes	Permanently preserve (A)	Assistant Registrar Secretariat: Reporting to the University Registrar	Archive electronically/ in print	Delete/Shred after 1 year
1.3.21.	<u>Faculty Board Committee</u> • Membership list and matters • Term of reference • Attendance register • Correspondence • Agenda and minutes	Permanently preserve (A)	Faculty Assistant Registrar: Reporting to the Executive Dean	Archive electronically/ in print	Delete/Shred after 1 year

1.3.22.	<u>Research Ethics Committee</u> • Membership list and matters • Term of reference • Attendance register • Correspondence • Agenda and minutes	Permanently preserve (A)	Research Ethics Committee Officer: Reporting to the Director of Research Administration and Development	Archive electronically/ in print	Delete/Shred after 1 year
1.3.23.	<u>School Board Committee</u> • Membership list and matters • Term of reference • Attendance register • Correspondence • Agenda and minutes	Permanently preserve (A)	School Principal Admin Officer: Reporting to the Faculty Assistant Registrar	Archive electronically/ in print	Delete/Shred after 1 year
1.3.24.	<u>Student Representative Council Committee</u> • Membership list and matters • Term of reference • Attendance register • Correspondence • Agenda and minutes	Permanently preserve (A)	SRC Secretariats reporting to the Dean of Students or Manager of Student Affairs	Archive electronically/ in print	Delete/Shred after 1 year
1.3.25.	<u>Alumni and Convocation Committee</u> • Membership list and matters • Term of reference • Attendance register • Correspondence • Agenda and minutes	Permanently preserve (A)	Assistant Registrar Senate Affairs: Reporting to the University Registrar	Archive electronically/ in print	Delete/Shred after 1 year

1.4. Statutory Appointments.					
1.4.1.	<u>Statutory Appointment Files</u> • Procedures and advertisement • Appointment letters and related records • Recommendations <u>Statutory Appointments</u> • Chancellor • Vice-Chancellor • Deputy Vice- Chancellor's • University Registrar • Executive Deans • Executive Directors • Directors • Heads of Departments • Acting Positions	Permanently preserve (A)	Director Remuneration and Benefits: Reporting to the Chief Human Resources Officer	Archive electronically/ in print	No copies to be kept by other offices
1.5. Statutory Bodies.					
1.5.1.	<u>Statutory Bodies</u> • The Council on Higher Education (CHE) • Universities in South Africa (USAf)	Preserve for 5 years	Staff member delegated to correspond with the statutory bodies.	Delete/Shred information after 5 years	Delete/Shred after 1 year

1.6. Legislative Prescribed Committees.					
1.6.1.	<u>Employee Relations Bargaining Forum</u> • Membership list and matters • Term of reference • Attendance register, agenda and minutes	Permanently preserve (A)	Director Labour Relations: Reporting to the Chief Human Resources Officer	Archive electronically/ in print	Delete/Shred after 1 year
1.6.2.	<u>Institutional Forum</u> • Membership list and matters • Term of reference • Attendance register • Declaration of interest • Correspondence • Agenda and minutes	Permanently preserve (A)	Assistant Registrar Secretariat: Reporting to the University Registrar	Archive electronically/ in print	Delete/Shred after 1 year
1.6.3.	<u>Campus Management Forum</u> • Membership list and matters • Correspondences • Reports	Permanently preserve (A)	Executive Secretary: Office of the Vice-Chancellor and Principal: Reporting to the Vice-Chancellor and Principal	Archive electronically/ in print	Delete/Shred after 1 year
1.7. The University of Limpopo Quarterly and Annual Report.					
1.7.1.	<u>UL Quarterly and Annual Report</u> • Reports • Stakeholders reports • Department of Higher Education and Training reports	Permanently preserve (A) after approval by Council	Records Manager: Reporting to the University Registrar	Archive electronically/ in print	Delete/Shred after 1 year

1.8. National and International Associations.					
1.8.1.	<u>National</u> • South African National Research and Education Network (SANReN) • Southern African Development Community (SADC)	Preserve for 5 years	Staff member delegated to correspond with the national association.	Delete/Shred information after 5 years	Delete/Shred after 1 year
1.8.2.	<u>International Associations</u> • The International Association of Universities (IAU) • The United Nations Educational, Scientific and Cultural Organization (UNESCO) • The International Education Association of South Africa (IEASA)	Preserve for 5 years	Staff member delegated to correspond with the international association.	Delete/Shred information after 5 years	Delete/Shred after 1 year
1.9. Professional Bodies, Companies and Associations.					
1.9.1.	<u>Professional Bodies</u> • Health Professionals Council of South Africa (HPCSA) • The South African Institute of Chartered Accountants (SAICA) • The South African Nursing Council (SANC) • The Law Society of South Africa (LSSA) • South African Board of People Practice (SABPP)	Preserve for 5 years	Staff member delegated to correspond with the professional bodies.	Delete/Shred information after 5 years	Delete/Shred after 1 year

1.9.2.	<u>Companies and Associations</u> • TELKOM • South African National Library and Information Consortium (SANLIC) • South African Universities Vice-Chancellors' Association (SAUVCA) • The National Institute for the Humanities and Social Sciences (NIHSS)	Preserve for 5 years	Staff member delegated to correspond with the company and association.	Delete/Shred information after 5 years	Delete/Shred after 1 year
1.10. Higher Education Sector Landscape					
1.10.1.	<u>Higher Education Sector Landscape</u> This series is to be used by the Institutional Planning Management for future reference.	Preserve for 5 years	Director Institutional Planning: Reporting to the Deputy Vice-Chancellor Teaching and Learning	Delete/Shred information after 5 years	Delete/Shred after 1 year
1.11. Government Departments					
1.11.1.	<u>The Department of Higher Education and Training (DHET)</u> • Funding initiatives • Strategic projects	Preserve for 25 years	Staff member delegated to correspond with the government department.	Delete/Shred information after 25 years	Delete/Shred after 1 year
1.12. Religious Organisations					
1.12.1.	<u>Religious Organisations</u> • Religious Organisations name • Correspondences	Preserve for 5 years	Staff member delegated to correspond with the organisation.	Delete/Shred information after 5 years	Delete/Shred after 1 year

2. MANAGEMENT

This main subject is used for records relating to UL management. The main subject manages a variety of records as a result of almost every office at the UL will make use of this main subject.

2.1. University Management Structures.

2.1.1.	<u>University Management Structures</u> • Management and governance • Organisational structures • Support functions • Professional services • Enrolment and Planning • Policy development and review • Benchmarking • Service level agreements • Confidential agreements • Standard operating procedures • Core functions: Teaching, learning and research • Institutional projects • Bursaries and Loans • Academic departments • Implementation of expertise • Innovations and partnerships • Committee structures	Permanently preserve (A)	Delegated secretariats of the various management structures and committees: Reporting to the University Registrar	Archive electronically/ in print	Delete/Shred after 1 year
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2.3. Quality Assurance and Management.					
2.3.1.	<u>Quality Assurance and Management</u> • Faculty quality templates • Faculty quality manuals • Guide for completing manual	Permanently preserve (A)	Faculty Executive Deans: Reporting to Deputy Vice-Chancellor Teaching and Learning	Archive electronically/ in print	Delete/Shred 7 years after the end of the audit cycle
2.3.2.	<u>Internal Programme Evaluation</u> • Guide • List of possible evidence of internal evaluations • Preliminary undergraduate and postgraduate template evaluation • Internal programme evaluation portfolio • Programme alignment • Improvement plans • Full-cycle improvement report • Mid-cycle progress report • Status of historic and future IPE plans • Training	Permanently preserve (A)	Director Quality Assurance: Reporting to the Vice-Chancellor and Principal	Archive electronically/ in print	Delete/Shred 7 years after the end of the audit cycle
2.3.3.	<u>External Programme Evaluation</u> • EPE list of panel members • External programme evaluation portfolio • Preliminary undergraduate and postgraduate template evaluation • Status of historic and future EPE plans • Programme alignment • Improvement plans • Mid-cycle progress report • Full-cycle improvement report • Training	Permanently preserve (A)	Director Quality Assurance: Reporting to the Vice-Chancellor and Principal	Archive electronically/ in print	Delete/Shred 7 years after the end of the audit cycle

2.3.4.	<u>Guidelines and Survey</u> • Guides for compiling reports • Guidelines for completing a survey • Undergraduate and Postgraduate programme questionnaires/ survey • Survey feedback • Teaching and learning evaluation survey	Permanently preserve(A)	Director Quality Assurance: Reporting to the Vice-Chancellor and Principal	Archive electronically/ in print	Delete/Shred 7 years after the end of the audit cycle
2.3.5.	<u>Assessment and Reports</u> • Reports template • Progress report • Self-evaluation report • Peer evaluation • Soft review • Post-peer evaluation • Feedback report • Preliminary undergraduate and postgraduate template report • Mid and full-cycle progress report	Permanently preserve (A)	Director Quality Assurance: Reporting to the Vice-Chancellor and Principal	Archive electronically/ in print	Delete/Shred 7 years after the end of the audit cycle
2.3.6.	<u>National and International Programme Reviews</u> • Guides • Reports • Improvement plans • Progress reports • Status of historic and future reviews	Permanently preserve (A)	Director Quality Assurance: Reporting to the Vice-Chancellor and Principal	Archive electronically/ in print	Delete/Shred 7 years after the end of the audit cycle

2.3.7.	<u>Institutional Quality Audit(HEQC)</u> • Self-evaluation report • Gap register • Gaps closure • Feedback register • HEOC audit report	Permanently preserve (A)	Director Quality Assurance: Reporting to the Vice-Chancellor and Principal	Archive electronically/ in print	Delete/Shred 7 years after the end of the audit cycle
2.4. Strategic Planning and Performance Monitoring.					
2.4.1.	<u>Strategic Planning and Reporting</u> • University Vision, Mission, Values • Meeting • Training • Benchmarking reports • University performance reports • University quarterly and annual reports	Permanently preserve (A)	Executive Director for Strategic Planning and Performance. Monitoring, Reporting and Evaluation: Reporting to the Vice-Chancellor	Archive electronically/ in print	Delete/Shred after 1 year
2.4.2.	<u>Plans</u> Institutional plans	Permanently preserve after approval (A)	Director Institutional Planning: Reporting to the Deputy Vice-Chancellor Teaching and Learning	Archive electronically/ in print	Delete/Shred after 1 year
	Faculties/schools/departments and units plans	Permanently preserve (A)	Executive Deans, Director of Schools, Executive Directors of Department and Managers	Archive electronically/ in print	Delete/Shred after 1 year
2.4.3.	Enrolment Plan	Permanently preserve after approval (A)	Director Institutional Planning: Reporting to the Deputy Vice-Chancellor Teaching and Learning	Archive electronically/ in print	Delete/Shred after 1 year
2.4.4.	<u>Policy Development and Review</u> • Development • Review	Permanently preserve after approval (A)	Department where policy originates. Records Manager must ensure the policy is electronically accessible	Archive electronically/ in print	Delete/Shred after 1 year

2.5. International Relation.					
2.5.1.	<u>International Relation</u> - List of University partners - Bilateral agreements - International cooperation initiative reports - Education projects - Incoming and outgoing students training - Exchange students mobility - Support service report	Permanently preserve (A)	Deputy Vice-Chancellor; Research, Innovations and Partnerships: Reporting to the Vice-Chancellor	Archive electronically/ in print	No copies to be kept by other offices
2.6. Internal Audit.					
2.6.1.	<u>Internal Audit Management</u> - Audit plan - Audit tracking record - Timesheets - Forms - Templates - Audit collection - Contracts - Charters - Core accountabilities	Preserve and destroy 5 years after financial audit (DAU5)	Director Internal Audit: Reporting to the Vice-Chancellor	Delete/Shred information 5 years after a financial audit is completed	No copies to be kept by other offices
2.6.2.	Audit Activities Reports	Permanently preserve (A)	Director Internal Audit: Reporting to the Vice-Chancellor	Archive electronically/ in print	No copies to be kept by other offices
2.6.3.	<u>Audit Process Documents</u> - Audit verification - Special investigation audit - Audit follow-up - Ad hoc assignments audit - Audit compliance - Audit verification - Annual audit - Major risk audit findings - Consultations	Preserve and destroy 5 years after financial audit (DAU5) (These records are confidential)	Director Internal Audit: Reporting to the Vice-Chancellor	Delete/Shred information 5 years after a financial audit is completed	No copies to be kept by other offices

	• Audit monitoring				
2.6.4.	<u>Audit Reports Feedback to:</u> • Institutional Management report • Audit, risk and compliance report • External audit report • Verification report • Compliance report • Quality review report • The significant control findings report • Ongoing monitoring report • Assurance report • Special investigation report	Permanently preserve (A)	Director Internal Audit: Reporting to the Vice-Chancellor	Archive electronically/ in print	No copies to be kept by other offices
2.6.5.	University of Limpopo Risk Register	Preserve and destroy 5 years after financial audit (DAU5)	Manager Enterprise Risk Management: Reporting to the Vice-Chancellor	Delete/Shred information 5 years after a financial audit is completed	No copies to be kept by other offices
2.6.6.	Whistle- blow Reports/Reporting	Permanently preserve (A) (These records are confidential)	Director Internal Audit: Reporting to the Vice-Chancellor	Archive electronically/ in print	No copies to be kept by other offices
2.6.7.	Investigations and Information Disclosures	Permanently preserve (A) (These records are confidential)	Director Internal Audit: Reporting to the Vice-Chancellor	Archive electronically/ in print	No copies to be kept by other offices
2.6.8.	<u>Risk Management</u> • Compliance monitoring • Projects monitoring • Tender monitoring	Preserve and destroy 5 years after financial audit (DAU5)	Director Internal Audit: Reporting to the Vice-Chancellor	Delete/Shred information 5 years after a financial audit is completed	No copies to be kept by other offices

2.7. Legal Matters					
2.7.1.	<u>Legal Matters</u> • Contracts and agreements • Memorandum of understanding • Non-disclosure agreement • Research agreement • Service level agreement • Study assistance agreement • Tender agreement	For government contracts digitised and preserved for 30 years (30)	University Registrar: Reporting to the Vice-Chancellor	Delete/Shred information 30 years after the contract has expired	No copies to be kept by other offices
2.7.2.	Intellectual Property Management				
2.7.2.1.	Brand, Trademarks and Licensing	Permanently preserve (A)	Executive Director of Marketing and Communication Service: Reporting to the Vice-Chancellor	Archive electronically/ in print	Delete/Shred after 3 year
2.7.2.2.	<u>Patents</u> • Patent Policy • Patent application/registration • Investigation correspondence • Renewals • Impeaching • Patent Policy Incentives	Permanently preserve (A) after a patent lapse	Deputy Vice-Chancellor; Research, Innovations and Partnerships: Reporting to the Vice-Chancellor	Records should be sent to the Archive for permanent preservation	Delete/Shred after 3 year
2.7.2.3.	<u>Commercialisation</u> • Licensing agreement	Preserve for 5 years (D5)	Executive Director of Information and Communications Technology: Reporting to the Vice-Chancellor	Delete/Shred information 5 years after IP lapses	Delete/Shred after 3 year

2.7.2.4.	<u>Copyright Management</u> • Plagiarism issues • Copyright compliance submissions	Permanently preserve (A)	Deputy Vice-Chancellor; Research, Innovations and Partnerships: Reporting to the Vice-Chancellor	Archive electronically/ in print	No copies to be kept by other offices
2.7.2.5.	Litigation	Permanently preserve (A)	University Registrar: Reporting to the Vice-Chancellor	Archive electronically/ print	No copies to be kept by other offices
2.7.2.6.	Legal Advice	Preserve for 5 years (D5)	University Registrar: Reporting to the Vice-Chancellor	Delete/Shred information 5 years after finalisation	No copies to be kept by other offices
2.7.2.7.	Legal Disclaimers/Indemnity Forms	Preserve for 3 years (D3)	Faculties/Schools/ Unit/Department who requires disclaimer	Delete/Shred information after 3 years	
2.8. Library and Information Services Management.					
2.8.1.	Records in this main subject are kept in the Library according to Library and Information Services (LIS) principles and practices.				
2.9. Records Management.					
2.9.1.	Records in this main subject are kept according to Archives and Records Management appropriate national legislative and related regulations.				
2.10. University Calendar Timetables.					
2.10.1.	• Annual general university calendars • Class timetable • Examination timetable	Permanently preserve (A)	Records Manager: Reporting to the University Registrar	Archive electronically/ in print	Delete/Shred after 1 year

2.11. Graduations Management.					
2.11.1.	<u>Graduation ceremonies</u> <i>A file should be opened for each ceremony and referenced by the graduation date, month, year and session.</i>	Permanently preserve (A) Records such as graduation videos, programmes, pictures, etc. they all have historical value.	Deputy Registrar: Reporting to the University Registrar	Archive electronically and physically	Delete/Shred after 1 year
2.11.1.2	<u>Special Awards</u> <i>A file should be opened for each special awards and referenced by name of the awards, year, month, year and date, e.g., Annual VC's Research Excellence Awards, honorary award and any award not awarded by a committee are not filled in this subject.</i>	Permanently preserve (A)	The Office responsible for the administration of awards.	Archive electronically/ in print	Delete/Shred after 1 year
2.12. Counselling and Development Management.					
2.12.1.	<u>Counselling Management</u> • Guides • Reports • Minutes • Assessments • Survey and feedback • Monitoring • Correspondence • Training	Permanently preserve (A)	Director CSCD: Reporting to the Deputy Vice-Chancellor Teaching and Learning	Archive electronically/ in print	No copies to be kept by other offices
2.12.2.	<u>Development Management</u> • Study skills development programme • Life skills programme • Career development programme	Permanently preserve (A)	Director CSCD: Reporting to the Deputy Vice-Chancellor Teaching and Learning	Archive electronically	No copies to be kept by other offices

	• Programme assessments • Psychotherapy initiatives • Reports • Minutes • Training				
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2.13. Occupational and Safety Management.					
2.13.1.	<u>Occupational Management</u> • Policy • Occupational health (OH) provision assessment • OH Services audit report • General OH issues • Health surveillance report • Cases of occupational ill-health • Health awareness measurers • Health and safety legislation compliance report • Training	Permanently preserve (A)	Occupational Health and Safety Officer: Reporting to the Chief Human Resources Officer	Archive electronically/ in print	Delete/Shred after 1 year
2.13.2.	<u>Safety Management</u> • Safety statements • Safety report • Safety training programme • Relevant safety legal requirements review • Legislation monitoring • Health and safety assurance questionnaire	Permanently preserve (A)	Occupational Health and Safety Officer: Reporting to the Chief Human Resources Officer	Archive electronically/ in print	Delete/Shred after 1 year

2.14. Higher Education HIV/AIDS (HEAIDS) Programme Management.					
2.14.1.	<u>Marketing</u> <i>A file should be opened for each marketing campaign and referenced by number and marketing intervention, e.g. Stop HIV Stigma.</i>	Permanently preserve (A) Records such as marketing materials and event photos have historical value.	Manager HIV/AIDS: Reporting to the Director of Health and Wellness Centre	Archive electronically/ in print	Delete/Shred after 1 year
2.14.2.	<u>Training</u> <i>A file should be opened for each marketing campaign and referenced by training as a subject.</i>	Preserve for 3 years (D3)	Manager HIV/AIDS: Reporting to the Director of Health and Wellness Centre	Delete/Shred information after 3 years	Delete/Shred after 1 year
2.14.3.	• Peer Education • Statistics • Survey	Preserve for 5 years (D5)	Manager HIV/AIDS: Reporting to the Director of Health and Wellness Centre	Delete/Shred information after 5 years	Delete/Shred after 1 year
2.15. Language Management.					
2.15.1.	<u>Language Policy</u> • Language audit • Language consultation projects • Language commercialisation • Language services • Editing • Translation	Permanently preserve (A)	Executive Dean Faculty of Humanities: Deputy Vice-Chancellor Teaching and Learning	Archive electronically/ in print	No copies to be kept by other offices
2.15.2.	<u>Interpreter Administration</u> • Terminology list • Manual • Journal	Permanently preserve (A)	Executive Dean Faculty of Humanities: Deputy Vice-Chancellor Teaching and Learning	Archive electronically/ in print	No copies to be kept by other offices

2.15.3.	<u>Research in Language Matters</u> • Data gathering • Research Administration • Articles • Collaborations • System administration • Assessment	Permanently preserve (A)	Director Research Administration and Development: Reporting to the Deputy Vice-Chancellor; Research, Innovations and Partnerships	Archive electronically/ in print	No copies to be kept by other offices
2.15.4.	<u>Ombuds Matters</u> <i>Files should be referenced accordingly by subject, e.g., name of the matter</i>	Permanently preserve (A)	Executive Dean Faculty of Humanities: Deputy Vice-Chancellor Teaching and Learning	Archive electronically/ in print	No copies to be kept by other offices
2.15.5.	<u>Training</u> • External training: short courses • Internal training: educational interpreters	Permanently preserve (A)	Executive Dean Faculty of Humanities: Deputy Vice-Chancellor Teaching and Learning	Archive electronically	No copies to be kept by other offices
2.16. Information Management.					
2.16.1.	<u>Preservation</u> • Records database management • Digitisation and migration projects • Records environmental control • Authority control lists • Records requests lists • Preservation projects • Retrieval records	Permanently preserve (A)	Records Manager: Reporting to the University Registrar	Archive electronically/ in print	No copies to be kept by other offices
2.16.2.	<u>Information Storage</u> • Storage plan • Storage Inventories • Records scanning • Information security measures	Permanently preserve (A)	Records Manager: Reporting to the University Registrar	Archive electronically/ In print	No copies to be kept by other offices

2.16.3.	<u>Records Management</u> • File Plan • Disposal • Destruction certificates • E-records management • Archive management	Permanently preserve (A) Records are to be kept in a safe and secured storage facility	Records Manager: Reporting to the University Registrar	Archive electronically/ in print	Delete/Shred after 1 year
2.16.4.	<u>Records Disaster Management</u> • Disaster plan	Permanently preserve (A)	Records Manager: Reporting to the University Registrar	Archive electronically/ in print	Delete/Shred after 1 year
2.16.5.	<u>Archived Records Access</u> • Confidentiality forms • Records access forms • Reports	Permanently preserve (A)	Records Manager: Reporting to the University Registrar	Archive electronically/ in print	Delete/Shred after 1 year
2.17. Project Implementation and Management.					
2.17.1.	<u>Project Implementation and Management</u> • Projects administration • Project submissions • Mandate • Planning • Progress reports • Project deliverables • Related supporting documents	Preserve for 3 years (D3) Consultation with the Records Manager regarding the historical value of the project is essential.	Project Manager appointed to oversee the project.	Delete/Shred information 3 years after the project is completed.	Delete/Shred after 1 year
2.18. Operational Management.					
2.18.1.	<u>Investigation Administration</u> <i>A file is opened for each case and is referenced by case number.</i>	Permanently preserve (A)	Investigation Officer: Reporting to Director of Safety and Security	Archive electronically/ in print	Delete/Shred after 1 year
2.18.2.	<u>Protection Management</u> • Alarms • Letters of authority • Disclaimer • Crime preventing measures • Planning • Health and safety measure	Preserve for 5 years (D5)	Investigation Officer: Reporting to Director of Safety and Security	Delete/Shred information after 5 years	Delete/Shred after 1 year

2.18.3.	<u>Training</u> • Security • Fire weapons <i>A case file is opened for each trainee is referenced by his or her name and surname.</i> <i>Trainee case file can contain the following:</i> • Registration form • Contact details • Copy of ID document • Tests • Examination answer sheet • Correspondence • Questionnaires	Preserve for 8 years (D8)	Training Officer: Reporting to Director Safety and Security	Delete/Shred information after 8 years	Delete/Shred after 1 year
2.18.4.	<u>Access Control</u> • Permission authorisations • Student access card information • Staff access card information • Contractor access card information	Permanently preserve (A)	Traffic and Access Officer: Reporting to Director Safety and Security	Archive electronically	Delete/Shred after 1 year

3. HUMAN RESOURCE

This main subject is used for the management of records relating to Human Resource administration and management, the majority of the original records will be held by relevant staff members in the Human Resource Department. Electronic UL personnel staff file should be retained permanently (Print staff file should be scanned and electronically archived).

3.1. Recruitment and Selection.

3.1.1.	The motivation for filling a vacant posit or creating a post	The record form part of the personnel staff file. Permanently preserve (A)	Manager Recruitment and Selection: Reporting to the Chief Human Resources Officer	Archive electronically/ in print	No copies to be kept by other offices
3.1.2.	<u>Advertisement for vacant posts</u> - Adverts - Plans	Preserve for 5 years (D5)	Manager Recruitment and Selection: Reporting to the Chief Human Resources Officer	Delete/Shred information after 5 years	No copies to be kept by other offices
3.1.3.	<u>Application Statistics</u> - List of application for academic staff - List of application for support staff - Application letters received	Preserve for 5 years (D5)	Manager Recruitment and Selection: Reporting to the Chief Human Resources Officer	Delete/Shred information after 5 years	No copies to be kept by other offices
3.1.4.	<u>Scheduled Interviews</u> - Arrangements - Panel members - Reference check - Travel cost claims	Preserve for 5 years (D5)	Manager Recruitment and Selection: Reporting to the Chief Human Resources Officer	Delete/Shred information after 5 years	No copies to be kept by other offices

3.1.5.	<u>Job Descriptions and Job Evaluation</u>	The record form part of the personnel staff file. Permanently preserve (A)	Director Organisational Development and Talent Management: Reporting to the Chief Human Resources Officer	Archive electronically/ in print	No copies to be kept by other offices
3.2. Appointments and Relocation.					
<i>Records in this sub-subject are referenced by the file number and staff number.</i>					
3.2.1.	<u>Support and Academic Staff Appointment</u> • Appointment/transfer letter • Acceptance letter • Employee banking information • Employee personal information • Pay as you earn information(PAYE) • Employee pension fund beneficiaries • Employee declaration • Medical report • Probation review form	The record form part of the personnel staff file. Permanently preserve (A)	Director Remuneration and Benefits: Reporting to the Chief Human Resources Officer	Archive electronically/ in print	No copies to be kept by other offices
3.2.2.	<u>Foreign Staff Appointment</u> • Skills transfer plan • Appointment letter • Applicable and valid work permit • Residence permit • Passport and ID • Immigration documents	The record form part of the personnel staff file. Permanently preserve (A)	Director Remuneration and Benefits: Reporting to the Chief Human Resources Officer	Archive electronically/ in print	No copies to be kept by other offices

3.2.3.	<u>Temporary Appointment</u> • Contract appointments • Appointments of facilitators/markers • Tutors • Internship / Interns appointment	Termination of employment + 6 years (D6)	Director Remuneration and Benefits: Reporting to the Chief Human Resources Officer	Delete/Shred information 6 years after the end of service	No copies to be kept by other offices
3.2.4.	<u>Relocation</u> • Relocation request letter • Approvals	The record form part of the personnel staff file. Permanently preserve (A)	Director Remuneration and Benefits: Reporting to the Chief Human Resources Officer	Archive electronically/ in print	No copies to be kept by other offices
3.2.5.	<u>Acting Appointment</u>	Termination of acting position / Position is filled + 3 year	Director Remuneration and Benefits: Reporting to the Chief Human Resources Officer	Delete/Shred information 3 years after acting service termination	No copies to be kept by other offices
3.2.6.	<u>Fixed Term Appointment Recommendations</u>	The record form part of the personnel staff file. Permanently preserve (A)	Director Remuneration and Benefits: Reporting to the Chief Human Resources Officer	Archive electronically/ in print	No copies to be kept by other offices
3.2.7.	<u>Students Appointment</u> Appointment of student assistants	Termination of employment + 3 years (D3)	Work-Study Officer: Reporting to the Director of Financial Aid	Delete/Shred information 3 years after the end of service	No copies to be kept by other offices

3.3. Resignations and Retirements.					
3.3.1.	<u>Termination of Service</u> • Service termination letter • Termination approval letter • Exit interview • Clearance form	The record form part of the personnel staff file. Permanently preserve (A)	Director Remuneration and Benefits: Reporting to the Chief Human Resources Officer	Archive electronically/ in print	No copies to be kept by other offices
3.3.2.	<u>Ill Health Retirement (incapacity)</u> • Medical reports • Recommendations • Correspondences • Relevant supporting documents • Clearance form	The record form part of the personnel staff file. Permanently preserve (A)	Director Remuneration and Benefits: Reporting to the Chief Human Resources Officer	Archive electronically/ in print	No copies to be kept by other offices
3.3.3.	<u>Disciplinary Cases</u> • Correspondences • Charges • Findings • Clearance form	The record form part of the personnel staff file. Permanently preserve (A)	Director Remuneration and Benefits / Director Employee Relations: Reporting to the Chief Human Resources Officer	Archive electronically/ in print	No copies to be kept by other offices
3.3.3.1	Emails Related to Disciplinary Cases	Preserve 6 years after the closure of the case	Director Remuneration and Benefits / Director Employee Relations: Reporting to the Chief Human Resources Officer	Delete/Shred information 6 years after case closure	No copies to be kept by other offices

3.4. Remuneration					
3.4.1.	<u>Statutory Tax Payment</u> • PAYE • IRP5 • Unemployment Insurance Fund • Workmen's Compensation Fund	Permanently preserve (A) on ITS system	Principal Accountant Payroll: Reporting to the Director: Finance	Archive electronically/ in print	No copies to be kept by other offices
3.4.2.	<u>Salary payment</u> Salary slips/payslips	Permanently preserve (A) on ITS system	Principal Accountant Payroll: Reporting to the Director: Finance	Archive electronically/ in print	No copies to be kept by other offices
3.4.3.	<u>Deductions permission</u> • Loans • Advances • Garnishee orders	The record form part of the personnel staff file. Permanently preserve (A)	Director Remuneration and Benefits / Director Employee Relations: Reporting to the Chief Human Resources Officer	Archive electronically/ in print	No copies to be kept by other offices
3.4.4.	Salary instruction and details of the bank <u>accounts of current staff members</u> • Payments • Quality controls	The record form part of the personnel staff file. Permanently preserve (A)	Director Remuneration and Benefits / Director Employee Relations: Reporting to the Chief Human Resources Officer	Archive electronically/ in print	No copies to be kept by other offices
3.4.5.	Medical aids invoices	Preserve and destroy 5 years after financial audit (DAU5)	Director Remuneration and Benefits / Director Employee Relations: Reporting to the Chief Human Resources Officer	Destroy/Shred 5 years after financial audit (DAU5)	No copies to be kept by other offices
3.4.6.	<u>Other Types of Remuneration</u> • Ad hoc remuneration claim • Temporary staff claim • Examiners honorarium claim • Weekly, weekend, standby overtime claim	The record form part of the personnel staff file. Permanently preserve (A)	Director Remuneration and Benefits / Director Employee Relations: Reporting to the Chief Human Resources Officer	Archive electronically/ in print	No copies to be kept by other offices

3.4.7.	<u>Allowances</u> • Acting • Letters • School/Research Director • Subject Chair / Programme Coordinator • Projects • Facilitator / Fieldworkers	The record form part of the personnel staff file. Permanently preserve (A)	Director Remuneration and Benefits / Director Employee Relations: Reporting to the Chief Human Resources Officer	Archive electronically/ in print	No copies to be kept by other offices
3.4.8.	Long service awards/ bonus	The record form part of the personnel staff file. Permanently preserve (A)	Director Remuneration and Benefits / Director Employee Relations: Reporting to the Chief Human Resources Officer	Archive electronically/ in print	No copies to be kept by other offices
3.5. Employees Benefits.					
3.5.1.	<u>Pension and Provident Funds</u> • Rules • Agreements	Permanently preserve (A)	Manager Human Resource Benefits: Reporting to the Director Remuneration and Benefits	Archive electronically/ in print	No copies to be kept by other offices
3.5.2.	Pension and provident funds monthly contributions	Permanently preserve (A)	Manager Human Resource Benefits: Reporting to the Director Remuneration and Benefits	Archive electronically/ in print	No copies to be kept by other offices
3.5.3.	Benefits nomination form	The record form part of the personnel staff file. Permanently preserve (A)	Manager Human Resource Benefits: Reporting to the Director Remuneration and Benefits	Archive electronically/ in print	No copies to be kept by other offices
3.5.4.	Individual benefit statement request	The record form part of the personnel staff file. Permanently preserve (A)	Manager Human Resource Benefits: Reporting to the	Archive electronically/ in print	No copies to be kept by other offices

			Director Remuneration and Benefits		
3.5.5.	<u>Medical Aid</u> • Rules • Agreements	Permanently preserve (A)	UL Health Consultant Officer: Reporting to the Director Remuneration and Benefits	Archive electronically/ in print	No copies to be kept by other offices
3.5.6.	Medical aid cancellation/ application/ adding of member	The record form part of the personnel staff file. Permanently preserve (A)	UL Health Consultant Officer: Reporting to the Director Remuneration and Benefits	Archive electronically/ in print	No copies to be kept by other offices
3.5.7.	<u>Group Life Insurance</u> • Rules • Agreements	Permanently preserve (A)	Manager Human Resource Benefits: Reporting to the Director Remuneration and Benefits	Archive electronically/ in print	No copies to be kept by other offices
3.5.8.	<u>Remuneration Management</u> • Salary scales	Permanently preserve (A)	Director Remuneration and Benefits: Reporting to the Chief Human Resources Officer	Archive electronically/ in print	No copies to be kept by other offices
3.5.9.	<u>The individual remuneration review process</u> • Remuneration revision recommendation • Review the outcome	The record form part of the personnel staff file. Permanently preserve (A)	Director Remuneration and Benefits: Reporting to the Chief Human Resources Officer	Archive electronically/ in print	No copies to be kept by other offices
3.5.10.	<u>Bonus Management</u> • 13th cheque bonus / Annual bonus • Merits bonus • Top achiever bonus • Process • Minutes	The record form part of the personnel staff file. Permanently preserve (A)	Director Remuneration and Benefits: Reporting to the Chief Human Resources Officer	Archive electronically/ in print	No copies to be kept by other offices
3.5.11.	<u>Leave Matters</u> • Leave form	The record form part of the personnel staff file. Permanently preserve (A)	Deputy Director Remuneration Information System	Archive electronically/ in print	Delete/Shred after 1 year

	• Leave application and cancellation • Overtime leave permission	(This include online leave application transactions)	and Planning: Reporting to the Director Remuneration and Benefits		
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3.6. Employment Equity.

3.6.1	<u>Reports</u> • Profile • Vacancies • Appointments • Retirements • Terminations	Preserve for 5 years (D5)	Director Organisation Development and Talent Management: Reporting to the Chief Human Resources Officer	Delete/Shred information after 5 years	Delete/Shred after 1 year
3.6.2.	<u>Monitoring</u> • Progress reports • Monthly targets	Preserve for 5 years (D5)	Director Organisation Development and Talent Management: Reporting to the Chief Human Resources Officer	Delete/Shred information after 5 years	No copies to be kept by other offices
3.6.3.	<u>Disability Management</u> • Registration of disabled person • Application for assistance • Support documents • Approval / Non-approval • Contract	Preserve for 5 years (D5)	Director Organisation Development and Talent Management: Reporting to the Chief Human Resources Officer	Delete/Shred information after 5 years	No copies to be kept by other offices

3.7. Promotion of Academic Staff.					
3.7.1.	Institutional promotion criteria	Permanently preserve (A)	Manager Human Resource Benefits: Reporting to the Director Remuneration and Benefits	Archive electronically/ in print	No copies to be kept by other offices
3.7.2.	Promotion criteria guidelines	Permanently preserve (A)	Manager Human Resource Benefits: Reporting to the Director Remuneration and Benefits	Archive electronically/ in print	No copies to be kept by other offices
3.7.3.	Applications • Application letter • Applicant curriculum vitae • Referees	Preserve for 3 years (D3)	Staff member applying for promotion and Director to whom the application was made	Delete/Shred information after 3 years	No copies to be kept by other offices

3.8. Organisational Development and Talent Management.					
3.8.1.	<u>Position Management</u> • Organograms • Changing the staff establishment of an organisation entity • Organisation restructuring request • Position review • Position upgrading • Appeals • Letter of outcome	The record form part of the personnel staff file. Permanently preserve (A)	Director Organisation Development and Talent Management: Reporting to the Chief Human Resources Officer	Archive electronically/ in print	No copies to be kept by other offices
3.8.2.	<u>Skills Development</u> • Collective scheduled training	Permanently preserve (A)	Training and Development Officer: Reporting to the Director Organisation Development and Talent Management	Archive electronically/ in print	

3.8.2.1	Skills Need Analysis	Preserve for 5 years (D5) according to the Skills Development Act	Training and Development Officer: Reporting to the Director Organisation Development and Talent Management	Delete/Shred information after 5 years	
3.8.2.2.	<u>Application for Internal Training</u> • Training request/correspondences • Facilitator information • Payments • Registration • Course arrangements • Course evaluation • Assessments documentation • Attendance lists	Preserve for 5 years (D5) according to the Skills Development Act	Training and Development Officer: Reporting to the Director Organisation Development and Talent Management	Delete/Shred information after 5 years	
3.8.2.3.	<u>Leadership Academy</u> • Course material • Course evaluation • Trainer CV's/ information • Annual presentations	Preserve for 5 years (D5) according to the Skills Development Act	Training and Development Officer: Reporting to the Director Organisation Development and Talent Management	Delete/Shred information after 5 years	
3.8.2.4.	<u>Induction Programme (New Staff Members)</u> • Checklist for line manager /supervisor • New employee acknowledgement form • Induction employee proof of attendance	Preserve for 5 years (D5) according to the Skills Development Act	Training and Development Officer: Reporting to the Director Organisation Development and Talent Management	Delete/Shred information after 5 years	

3.8.3.	<u>Skills Fund</u> • Development fund application • Approval • Fund expenditure	Preserve for 5 years (D5) according to the Skills Development Act	Director Organisation Development and Talent Management: Reporting to the Chief Human Resources Officer	Delete/Shred information after 5 years	
3.8.4.	<u>Staff Study Assistance</u> • Application for staff study assistance • Letter of outcome • Study assistance agreement • Contracts • Results/ Qualification awarded	The record form part of the personnel staff file. Permanently preserve (A)	Director Remuneration and Benefits: Reporting to the Chief Human Resources Officer	Archive electronically/ in print	
3.8.5.	<u>ETDP-SETA Matters</u> • Notice for a training intervention • Application forms • SETA correspondences	Preserve for 5 years (D5) according to the Skills Development Act	Training and Development Officer: Reporting to the Director Organisation Development and Talent Management	Delete/Shred information after 5 years	
3.8.6.	<u>Mentorship and Coaching</u> • Mentor application form • Mentee application form • Mentoring agreement	The record form part of the personnel staff file. Permanently preserve (A)	Manager Human Resource Benefits: Reporting to the Director Remuneration and Benefits	Archive electronically/ in print	
3.8.7.	<u>Talent Management</u> • Employee assessment • Succession planning • Internships	Permanently preserve (A)	Director Organisation Development and Talent Management: Reporting to the Chief Human Resources Officer	Archive electronically/ in print	

3.9. Performance Management.					
3.9.1.	<u>Performance Agreement</u> - Performance review - Interventions - Monitoring report - Appraisal - Cycle and schedule	The record form part of the personnel staff file. Permanently preserve (A)	Director Organisation Development and Talent Management: Reporting to the Chief Human Resources Officer	Archive electronically/ in print	No copies to be kept by other offices
3.10. Labour Relations.					
3.10.1.	<u>Discipline</u> Register	Permanently preserve (A)	Employee Relation Officer: Reporting to the Chief Human Resources Officer	Archive electronically/ in print	No copies to be kept by other offices
3.10.1.1	<u>Departmental Hearing</u> - Notice - Charge sheet	Guilty verdict: Destroy/ Delete records after the validity period has expired Not guilty: Destroy/ Delete immediately after hearing	Employee Relation Officer: Reporting to the Chief Human Resources Officer	Destroy/Delete records as indicated	No copies to be kept by other offices
3.10.1.2	<u>University Hearing</u> - Notice - Charge sheet - Result letter	Not guilty: Destroy/ Delete immediately after hearing Guilty: Preserve for 5 years (D5)	Employee Relation Officer: Reporting to the Chief Human Resources Officer	Destroy/Delete records as indicated	No copies to be kept by other offices
3.10.2.	<u>Poor work performance</u> - Register - Casefile - Performance improvement plan - Performance improvement plan review	The record form part of the personnel staff file. Permanently preserve (A)	Employee Relation Officer: Reporting to the Chief Human Resources Officer	Archive electronically/ in print	No copies to be kept by other offices
3.10.3.	<u>Ill-Health and Injury</u> - Register - Casefile	The record form part of the personnel staff file. Permanently preserve (A)	Employee Relation Officer: Reporting to the Chief Human Resources Officer	Archive electronically/ in print	No copies to be kept by other offices

3.10.4.	<u>Retrenchments</u> - Correspondences - Meetings	Preserve for 3 years after section 189 process (D3)	Employee Relation Officer: Reporting to the Chief Human Resources Officer	Delete/Shred information after 3 years	No copies to be kept by other offices
3.10.4.1	Retrenchment salary package calculations	Preserve for 3 years after section 189 process (D3)	Manager Human Resource Benefits: Reporting to the Director Remuneration and Benefits	Delete/Shred information after 3 years	No copies to be kept by other offices
3.10.4.2	Retrenchment letters	The record form part of the personnel staff file. Permanently preserve (A)	Manager Human Resource Benefits: Reporting to the Director Remuneration and Benefits	Archive electronically/ in print	No copies to be kept by other offices
3.10.5.	Grievance Cases	Permanently preserve (A)	Employee Relation Officer: Reporting to the Chief Human Resources Officer	Archive electronically/ in print	No copies to be kept by other offices
3.10.6.	CCMA Cases	Permanently preserve (A)	Employee Relation Officer: Reporting to the Chief Human Resources Officer	Archive electronically/ in print	No copies to be kept by other offices
3.10.7.	Labour Court Cases	Permanently preserve (A)	Employee Relation Officer: Reporting to the Chief Human Resources Officer	Archive electronically/ in print	No copies to be kept by other offices
3.10.8.	<u>Labour Agreements</u> Recognition agreements <i>The file must be referenced using the union name.</i>	Permanently preserve (A)	Employee Relation Officer: Reporting to the Chief Human Resources Officer	Archive electronically/ in print	No copies to be kept by other offices
3.10.9.	Individual Agreement	Preserve for 3 years after completion of agreement date /terms (D3)	Employee Relation Officer: Reporting to the Chief Human Resources Officer	Destroy/Delete records as indicated	No copies to be kept by other offices

3.11. Employees Assistance Programme.					
3.11.1.	<u>Marketing and Awareness</u> • Policy and procedure • Initiatives • Accessibility	Permanently preserve (A)	Director Organisational Development and Talent Management: Reporting to the Chief Human Resources Officer	Archive electronically/ in print	No copies to be kept by other offices
3.11.2.	<u>Referral</u> • Appointment register • Interviews • Guidance and assistance	The record form part of the personnel staff file. Permanently preserve (A)	Director Organisational Development and Talent Management: Reporting to the Chief Human Resources Officer AND Manager Human Resource Benefits: Reporting to the Director Remuneration and Benefits	Archive electronically/ in print	No copies to be kept by other offices
3.11.3.	<u>Training and development</u> • Manuals/guides • Improvement plan • Training reviews • Programme assessment	Permanently preserve (A)	Director Organisational Development and Talent Management: Reporting to the Chief Human Resources Officer	Archive electronically/ in print	No copies to be kept by other offices
3.12. Employees Health and Wellness.					
3.12.1.	<u>Year Programme</u> • Brochures • Manuals • Calendars	Permanently preserve (A)	Director Organisational Development and Talent Management: Reporting to the Chief Human Resources Officer	Archive electronically/ in print	Delete/Shred 1 year

3.12.2.	<u>Programme Assessment</u> • Need analysis • Surveys	Preserve for 3 years	Director Organisational Development and Talent Management: Reporting to the Chief Human Resources Officer	Delete/Shred information after 3 years	Delete/Shred 8 months after contributions
3.13. Statistics and Analysis.					
3.13.1.	South African Stats Reports	Preserve for 3 years	Deputy Director Human Resource Information and System: Reporting to the Director Remuneration and Benefits	Delete/Shred information after 3 years	No copies to be kept by other offices
3.13.2.	Staff figures	Preserve for 3 years	Deputy Director Human Resource Information and System: Reporting to the Director Remuneration and Benefits	Delete/Shred information after 3 years	Delete/Shred 1 year
3.13.3.	Ad hoc request involving staff statistics	Preserve for 5 years	Deputy Director Human Resource Information and System: Reporting to the Director Remuneration and Benefits	Delete/Shred information after 5 years	Delete/Shred 1 year

3.14. System Administration and Operating Licenses.					
3.14.1.	<u>HRIS System Manuals</u> • System navigation • HR Employee Management • HR System Administration • Leave • Budget	Permanently preserve (A)	Deputy Director Human Resource Information and System: Reporting to the Director Remuneration and Benefits	Archive electronically/ in print	Working copies to be kept by offices until updated
3.14.2.	<u>System Integration/ Request / Errors</u> • Reports • Request form • Registration	Preserve for 3 years	Deputy Director Human Resource Information and System: Reporting to the Director Remuneration and Benefits	Delete/Shred information after 3 years	No copies to be kept by other offices

4. FINANCE

This main subject is used for the management of records related to financial administration, systems and reporting, budgeting, bursaries and loans. Finance records are kept in adherence with the University Financial Policy and Rules and related procedures.

4.1. Income Management.

4.1.1.	<u>Student Account Administration</u> • Student account • Reconciliations • Monthly statements • Journals	Preserve and destroy 5 years after financial audit (DAU5)	Director Contract Management and Management Accounting: Reporting to the Executive Director Finance / Senior Manager Finance	Delete/Shred information 5 years after a financial audit is completed	No copies to be kept by other offices
4.1.1.1.	Application for Refund of Credit Balance on Student Account	Preserve and destroy 5 years after financial audit (DAU5)	Director Contract Management and Management Accounting: Reporting to the Executive Director Finance / Senior Manager Finance	Delete/Shred information 5 years after a financial audit is completed	No copies to be kept by other offices
4.1.1.2.	Study Costs / Quotations	Preserve for 3 years	Director Contract Management and Management Accounting: Reporting to the Executive Director Finance / Senior Manager Finance	Delete/Shred information after 3 years	No copies to be kept by other offices
4.1.1.3.	Credit and Debit Notes	Preserve and destroy 5 years after financial audit (DAU5)	Director Contract Management and Management Accounting: Reporting to the Executive Director Finance /	Delete/Shred information 5 years after a financial audit is completed	No copies to be kept by other offices

			Senior Manager Finance		
4.1.1.4.	Bad Debt	Preserve and destroy 5 years after financial audit (DAU5)	Director Contract Management and Management Accounting: Reporting to the Executive Director Finance / Senior Manager Finance	Delete/Shred information 5 years after a financial audit is completed	No copies to be kept by other offices
4.1.2.	<u>Various Debtors Administration</u> • Invoices • Reconciliations • Debtors accounts • Credit notes • Receipts	Preserve and destroy 5 years after financial audit (DAU5)	Director Finance: Reporting to the Executive Director Finance / Senior Manager Finance	Delete/Shred information 5 years after a financial audit is completed	No copies to be kept by other offices
4.1.2.1.	Bad Debt	Preserve and destroy 5 years after financial audit (DAU5)	Director Finance: Reporting to the Executive Director Finance / Senior Manager Finance	Delete/Shred information 5 years after a financial audit is completed	No copies to be kept by other offices
4.1.3.	<u>Cashiers Administration</u> • Receipts Cash • Cheques • Postal orders • Debit and credit cards • Direct bank payments	Preserve and destroy 5 years after financial audit (DAU5)	Principal Accountant: Reporting to the Director Contract Management and Management Accounting	Delete/Shred information 5 years after a financial audit is completed	No copies to be kept by other offices
4.1.3.1.	Suspense Accounts	Preserve and destroy 5 years after financial audit (DAU5)	Principal Accountant: Reporting to the Director Contract Management and Management Accounting	Delete/Shred information 5 years after a financial audit is completed	No copies to be kept by other offices
4.1.3.2.	Reconciliations	Preserve and destroy 5 years after financial audit (DAU5)	Principal Accountant: Reporting to the Director Contract Management and	Delete/Shred information 5 years after a financial audit is completed	No copies to be kept by other offices

			Management Accounting		
4.1.3.3.	Cashiers Report	Preserve and destroy 5 years after financial audit (DAU5)	Principal Accountant: Reporting to the Director Contract Management and Management Accounting	Delete/Shred information 5 years after a financial audit is completed	No copies to be kept by other offices
4.1.4.	<u>Debt Collection Administration</u> <i>The following types of debt are administered in this series .i.e. university loans, student accounts financed by external bursaries or loan, graduations, etc.</i>				
4.1.4.1.	• Settlement agreements • Reconciliations • Accounts handed to attorneys • Bursaries and loans delays	Preserve and destroy 5 years after financial audit (DAU5)	Principal Accountant: Reporting to the Director Contract Management and Management Accounting	Delete/Shred information 5 years after a financial audit is completed	No copies to be kept by other offices

4.1.4.2.	Debt Counselling	Preserve and destroy 5 years after financial audit (DAU5)	Principal Accountant: Reporting to the Director Contract Management and Management Accounting	Delete/Shred information 5 years after a financial audit is completed	No copies to be kept by other offices
4.1.4.3.	Diverse Debtor Collections	Preserve and destroy 5 years after financial audit (DAU5)	Principal Accountant: Reporting to the Director Contract Management and Management Accounting	Delete/Shred information 5 years after a financial audit is completed	No copies to be kept by other offices
4.1.5.	<u>Donations/ Awards</u> Tax exemption certificates	Preserve and destroy 5 years after financial audit (DAU5)	Director Contract Management and Management Accounting: Reporting to the Executive Director Finance / Senior Manager Finance	Delete/Shred information 5 years after a financial audit is completed	No copies to be kept by other offices
4.1.6.	<u>Guest Accommodation Income Administration</u> - Invoices - Payments received - Reconciliations	Preserve and destroy 5 years after financial audit (DAU5)	Manager Staff Housing: Reporting to the Chief Human Resources Officer	Delete/Shred information 5 years after a financial audit is completed	No copies to be kept by other offices

4.1.7.	<u>Vending Income Administration</u> - Daily sales reports - Bank deposits - Meal deposits reconciliations - Safe balancing - Cash-up reports	Preserve and destroy 5 years after financial audit (DAU5)	Manager Staff Restaurant: Reporting to the Executive Director of Marketing and Communication	Delete/Shred information 5 years after a financial audit is completed	No copies to be kept by other offices
4.2. Expenditure Management.					
4.2.1.	<u>Procurement and Intervention</u> - Supplier contracts - Tender documentation	Preserve and destroy 5 (D5)years after expiry of the contract	Procurement Manager: Reporting to the Director Finance	Delete/Shred information after 5 years	No copies to be kept by other offices
4.2.1.1.	Supplier Credit Application	Preserve and destroy 5 years after financial audit (DAU5)	Procurement Manager: Reporting to the Director Finance	Delete/Shred information 5 years after a financial audit is completed	No copies to be kept by other offices
4.2.1.2.	Application for New Creditors	Preserve and destroy 5 years after financial audit (DAU5)	Procurement Manager: Reporting to the Director Finance	Delete/Shred information 5 years after a financial audit is completed	No copies to be kept by other offices
4.2.1.3.	Creditors Reconciliation	Preserve and destroy 5 years after financial audit (DAU5)	Procurement Manager: Reporting to the Director Finance	Delete/Shred information 5 years after a financial audit is completed	No copies to be kept by other offices
4.2.1.4.	Supplier Information and Amendments	Permanently preserve (A)	Procurement Manager: Reporting to the Director Finance	Archive electronically	No copies to be kept by other offices

4.2.2.	<u>Operating Expenditure</u> • Purchase orders • Requisition • Quotations • Goods received • Suppliers invoices/delivery note	Preserve and destroy 5 years after financial audit (DAU5)	Procurement Manager: Reporting to the Director Finance	Delete/Shred information 5 years after a financial audit is completed	No copies to be kept by other offices
4.2.3.	<u>Sundry /Ad Hoc Payments Expenditure</u> • Monthly cell phone and 3G allowance application • Travel from claim • Electronic payment proof • Travel insurance form	Preserve and destroy 5 years after financial audit (DAU5)	Assistant Director Accounts Payable: Reporting to the Director Finance	Delete/Shred information 5 years after a financial audit is completed	No copies to be kept by other offices
4.2.3.1.	<u>Vehicle Hire</u> • Application form • Hire tariffs • Damage check sheets	Preserve and destroy 5 years after financial audit (DAU5)	Assistant Director Accounts Payable: Reporting to the Director Finance	Delete/Shred information 5 years after a financial audit is completed	No copies to be kept by other offices
4.3. Assets Management.					
4.3.1.	Asset Register	Permanently preserve (A)	Assistant Director Assets Management: Reporting to the Chief Financial Officer	Archive electronically	No copies to be kept by other offices
4.3.2.	<u>Superseded/ Outdated Assets</u> • Scrapping • Tenders • Re-application	Permanently preserve (A)	Assistant Director Assets Management: Reporting to the Chief Financial Officer	Archive electronically	No copies to be kept by other offices
4.3.3.	Assets Inventory	Permanently preserve (A)	Assistant Director Assets Management: Reporting to the Chief Financial Officer	Archive electronically	No copies to be kept by other offices
4.3.4.	<u>Stores Management</u> • Stocktaking • Pick slips	Preserve and destroy after 3 years (D3)	Assistant Director Assets Management: Reporting to the Chief Financial Officer	Delete/Shred information after 3 years	No copies to be kept by other offices

4.4. Insurance Management.					
4.4.1.	<u>Insurance Claims</u> - Individual files - Claim form - Report for loss of assets - Damage report	Preserve and destroy 5 years after financial audit (DAU5)	Assistant Director Assets Management: Reporting to the Chief Financial Officer	Delete/Shred information 5 years after a financial audit is completed	No copies to be kept by other offices
4.4.2.	Insurance Portfolio	Preserve and destroy 5 years after financial audit (DAU5)	Assistant Director Assets Management: Reporting to the Chief Financial Officer	Delete/Shred information 5 years after a financial audit is completed	No copies to be kept by other offices
4.4.3.	Insurance Association	Preserve and destroy after 3 years (D3)	Assistant Director Assets Management: Reporting to the Chief Financial Officer	Delete/Shred information after 3 years	No copies to be kept by other offices
4.5. Investments and Cash Flow Administration.					
4.5.1.	<u>Investment Services</u> - Statements - Transaction letter - Correspondence - Journal evidence - Reconciliations	Preserve and destroy 5 years after the end of investments (D5)	Assistant Director- General Ledger: Reporting to the Director Finance	Delete/Shred information 5 years after investment ended	No copies to be kept by other offices
4.5.1.1.	Special Projects <i>Referenced by project name and number.</i>	Preserve and destroy 5 years after the end of the project (D5)	Assistant Director- General Ledger: Reporting to the Director Finance	Delete/Shred information 5 years after the end of a project	No copies to be kept by other offices
4.5.1.2.	<u>Investment Portfolio Administration</u> - Portfolio - Summaries - Estimations - Limits for investments - Actuarial measuring - Audit reports	Preserve and destroy 5 years after financial audit (DAU5)	Assistant Director- General Ledger: Reporting to the Director Finance	Delete/Shred information 5 years after a financial audit is completed	No copies to be kept by other offices

4.5.2.	<u>Cash Flow Administration</u> • Bank reconciliations • Interest calculations • Inflation charges • Interest and discharging • Capitalisation	Preserve and destroy 5 years after financial audit (DAU5)	Principal Accountant Cashbook: Reporting to the Director Finance	Delete/Shred information 5 years after a financial audit is completed	No copies to be kept by other offices
4.5.3.	Final Annual Financial Statements and Reports	Permanently preserve (A)	Principal Accountant Cashbook: Reporting to the Director Finance	Archive electronically/ in print	No copies to be kept by other offices
4.5.4.	General Ledger	Permanently preserve (A)	Principal Accountant Cashbook: Reporting to the Director Finance	Archive electronically/ in print	No copies to be kept by other offices
4.6. Budget Management.					
4.6.1.	<u>Budget Control</u> • Budget planning meeting • Budget training • Attendance register • Yearly budgeting process	Preserve and destroy after 3 years (D3)	Director Contract Management and Management Accounting: Reporting to the Executive Director Finance / Senior Manager Finance	Delete/Shred information after 3 years	Delete/Shred after 1 year

4.6.1.1.	Budget Journals	Preserve and destroy 5 years after financial audit (DAU5)	Director Contract Management and Management Accounting: Reporting to the Executive Director Finance / Senior Manager Finance	Delete/Shred information 5 years after a financial audit is completed	No copies to be kept by other offices
4.6.2.	<u>Budget Management</u> <u>Variance reports</u> <i>Data and variance report are filed per number, month and year.</i>	Preserve and destroy 5 years after financial audit (DAU5)	Director Contract Management and Management Accounting: Reporting to the Executive Director Finance / Senior Manager Finance	Delete/Shred information 5 years after a financial audit is completed	No copies to be kept by other offices
4.6.2.1.	Speeding Against Reserves	Preserve and destroy 5 years after financial audit (DAU5)	Director Contract Management and Management Accounting: Reporting to the Executive Director Finance / Senior Manager Finance	Delete/Shred information 5 years after a financial audit is completed	No copies to be kept by other offices

4.7. Bursaries Administration.					
4.7.1.	<u>Bursaries Regulations</u> E.g. NSFAS, Funza Lushaka, Nedbank	Preserve and destroy 3 years after the end of regulations (D3)	Director Financial Aid: Reporting to the Executive Director Finance / Senior Manager Finance	Delete/Shred information 3 years after the end of regulations	No copies to be kept by other offices
7.2.	<u>Undergraduate Bursaries Management</u> 4.7.2.1. University-funded 4.7.2.2. Trust Fund 4.7.2.3. Provincial Government 4.7.2.4. Independent Bursaries 4.7.2.5. Meals <i>The above files will contain the information:</i> • Application form • Student request form • Evaluation • Payments or allocation • Affidavit • Identification document • Proof of employment and income	Permanently preserve (A)	Director Financial Aid: Reporting to the Executive Director Finance / Senior Manager Finance	Archive electronically	No copies to be kept by other offices
4.7.3.	<u>Postgraduate Bursaries Management</u> 4.7.3.1. Payments reconciliation 4.7.3.2. Correspondences 4.7.3.3. Merits 4.7.3.4. Applications 4.7.3.5. Renewals	Permanently preserve (A)	Director Financial Aid: Reporting to the Executive Director Finance / Senior Manager Finance	Archive electronically	No copies to be kept by other offices

4.7.4.	<u>Bursaries Reporting</u> • Bursary Final allocation • Bursary payment	Permanently preserve (A)	Director Financial Aid: Reporting to the Executive Director Finance / Senior Manager Finance	Archive electronically	No copies to be kept by other offices
4.7.5.	<u>External Bursaries Administration</u> • <u>Application form</u> • <u>Student request form</u> • <u>Evaluation</u> • <u>Payments or allocation</u> • <u>Affidavit</u> • <u>Identification document</u> • <u>Proof of employment and income</u> • <u>Remittance advice</u> • <u>Unclaimed funds</u>	Permanently preserve (A)	Director Financial Aid: Reporting to the Executive Director Finance / Senior Manager Finance	Archive electronically	No copies to be kept by other offices
4.7.6.1.	<u>Bank Account Reconciliations</u>	Preserve and destroy 5 years after financial audit (DAU5)	Director Financial Aid: Reporting to the Executive Director Finance / Senior Manager Finance	Delete/Shred information 5 years after a financial audit is completed	No copies to be kept by other offices

5. FACILITIES

This main subject is used for the management of records relating to facilities and physical infrastructure.

5.1. Transport Services Management.

5.1.1.	<u>Fleet Management</u> Fleet credit cards administration	Preserve and destroy 5 years after financial audit (DAU5)	Manager Transport Services: Reporting to the Director Facilities, Logistics and Transport Services	Delete/Shred information 5 years after a financial audit is completed	No copies to be kept by other offices
5.1.1.1.	<u>Purchasing and Selling of Vehicles</u> - Quotations for new vehicles - Tenders for purchasing new vehicles - Tenders for selling vehicles	Preserve and destroy after 5 years (D5)	Manager Transport Services: Reporting to the Director Facilities, Logistics and Transport Services	Delete/Shred information after 5 years	No copies to be kept by other offices
5.1.1.2.	<u>Vehicle Administration</u> <i>Each vehicle will have a designate a file and referenced with the number and car registration number. The file should contain the following records:</i> - Evidence of vehicle purchase - Vehicle registration documents - Licence - Vehicle service records - Proof of resale if sold	Preserve and destroy 5 years after vehicle resale (D5)	Manager Transport Services: Reporting to the Director Facilities, Logistics and Transport Services	Delete/Shred information 5 years after vehicle resold	No copies to be kept by other offices

5.1.2.	<u>Vehicle Reservations</u> Drivers licence's copies	Preserve and destroy 5 years after the employee has left service (D5)	Manager Transport Services: Reporting to the Director Facilities, Logistics and Transport Services	Delete/Shred information 5 years after the employee has left service	No copies to be kept by other offices
5.1.2.1.	Transport Request Forms	Preserve and destroy after 3 years(D3)	Manager Transport Services: Reporting to the Director Facilities, Logistics and Transport Services	Delete/Shred information after 3 years	Delete/Shred after 1 year
5.1.2.2.	Vehicle Reservation Permit Books	Preserve and destroy after 3 years(D3)	Manager Transport Services: Reporting to the Director Facilities, Logistics and Transport Services	Delete/Shred information after 3 years	No copies to be kept by other offices
5.1.3.	<u>Traffic Fines</u> - Fines received - Proof of fines paid - Unpaid fines	Preserve and destroy after 5 years (D5)	Manager Transport Services: Reporting to the Director Facilities, Logistics and Transport Services	Delete/Shred information 5 years after vehicle resold	No copies to be kept by other offices
5.1.3.1.	Satellite Fleet Tracking	Preserve and destroy after 5 years (D5)	Manager Transport Services: Reporting to the Director Facilities, Logistics and Transport Services	Delete/Shred information 5 years after vehicle resold	No copies to be kept by other offices

5.2. Information Technology Management					
5.2.1.	<u>ICT Systems Development</u> • Network maps • Network configuration • Network files • Networks alerts and log files	Preserve and destroy 5 years after the life of the system (D5)	Campus Network Manager: Reporting to the Executive Director of ICT	Delete/Shred information 5 years after the life of the system	No copies to be kept by other offices
5.2.2.	Systems Development Projects	Preserve and destroy 5 years after project last action (D5)	Campus Network Manager: Reporting to the Executive Director of ICT	Delete/Shred information 5 years after project last action	No copies to be kept by other offices
5.2.3.	Campus Licence Agreements	Preserve and destroy only if the agreement is superseded	Campus Network Manager: Reporting to the Executive Director of ICT	Delete/Shred information as directed	No copies to be kept by other offices
5.2.4.	System and Software Specifications and manuals	Preserve and destroy only if specifications and manuals are superseded	Campus Network Manager: Reporting to the Executive Director of ICT	Delete/Shred information as directed	No copies to be kept by other offices
5.2.5.	<u>Systems Security Management</u> • System misuse • Actual or attempt security breaches • The action was taken reports	Preserve and destroy after 6 years (D6)	Campus Network Manager: Reporting to the Executive Director of ICT	Delete/Shred information after 6 years	No copies to be kept by other offices
5.2.6.	<u>ICT Systems User Support</u> • Request for technical and application support • Assistance provided	Preserve and destroy after 2 years (D2)	Director ICT Service Desk: Reporting to the Executive Director of ICT	Delete/Shred information after 2 years	No copies to be kept by other offices
5.2.6.1.	ICT Technical and Application Systems Training	Preserve and destroy after 5 years (D5)	Director ICT Service Desk: Reporting to the Executive Director of ICT	Delete/Shred information after 5 years	No copies to be kept by other offices

5.3. Buildings and Physical Structures.					
5.3.1.	<u>Building Projects</u> - Project register - Project contractor/ Suppliers database	Permanently preserve (A)	Manager Technical Service and Facilities Management: Reporting to the Director Facilities, Logistics and Transport Services	Archive electronically/ in print	No copies to be kept by other offices
5.3.1.1.	<u>Building Projects Approved Contracts</u> <i>Each project file may contain the following documents:</i> - Project specifications - Minutes - Requisitions - Tender documents - Quotations - Material lists - Appointment letters - Payments to contractors - Certificates of practical completion - Certificates of completion	Preserve and destroy 5 years after the expiration of the contract and when no litigation has ensued (D5)	Manager Technical Service and Facilities Management: Reporting to the Director Facilities, Logistics and Transport Services	Delete/Shred information as directed	No copies to be kept by other offices
5.3.1.2.	<u>Electrical and Electronic Projects</u> - Application form - Project register - Project plans - Quality assurance - Client service questionnaire	Preserve and destroy 5 years after the expiration of the contract and when no litigation has ensued (D5)	Manager Technical Service and Facilities Management: Reporting to the Director Facilities, Logistics and Transport Services	Delete/Shred information as directed	No copies to be kept by other offices
5.3.2.	<u>Physical Structures</u> - Master plans - Building plans - Facilities management programmes	Permanently preserve (A)	Manager Technical Service and Facilities Management: Reporting to the Director Facilities,	Archive electronically/ in print	No copies to be kept by other offices

			Logistics and Transport Services		
5.3.2.1.	<u>Tenders</u> Unsuccessful tenders	Preserve and destroy 5 years after financial audit (DAU5)	Manager Technical Service and Facilities Management: Reporting to the Director Facilities, Logistics and Transport Services	Delete/Shred information 5 years after a financial audit is completed	No copies to be kept by other offices
5.4. Facilities Management.					
5.4.1.	<u>Facilities Management</u> Facilities use and hire	Preserve and destroy 5 years after expiry (D5)	Manager Technical Service and Facilities Management: Reporting to the Director Facilities, Logistics and Transport Services	Delete/Shred information 5 years after expiry	No copies to be kept by other offices
5.4.2.	<u>Property Leasing</u> • <u>Lease contracts</u> • <u>Lease forms</u> • <u>Water and electricity bills</u> • <u>Payment received</u>	Preserve and destroy 5 years after expiry of a lease (D5)	Manager Technical Service and Facilities Management: Reporting to the Director Facilities, Logistics and Transport Services	Delete/Shred information 5 years after expiry of the lease	No copies to be kept by other offices

5.5. Residence Management.					
5.5.1.	<u>Residence Administration</u> <i>A file should be opened for each students residence /hostel and referenced with the number and name of the hostel.</i> <i>The file can contain the following:</i> • Residence Warden or Residence Officer information • Officer or Warden reports • Placements, capacity and statistics • Problems or challenges encountered (Matters) • Room and students cancellations • Disciplinary matters • Maintenances and tenders	Preserve and destroy after 3 years(D3)	Manager Residence Management: Reporting to the Dean of Students /Vice-Chancellor	Delete/Shred information after 3 years	No copies to be kept by other offices
5.5.1.1.	<u>Student Placement Administration</u> 1.5.1.1.1. <u>Application form (1st entering students)</u> 1.5.1.1.2. <u>Application form (Returning students)</u> 1.5.1.1.3. <u>Cancellation reports</u>	Permanently preserve (A)	Manager Residence Management: Reporting to the Dean of Students /Vice-Chancellor	Archive electronically/ in print	No copies to be kept by other offices

5.5.1.2.	Statistics	Permanently preserve (A)	Manager Residence Management: Reporting to the Dean of Students /Vice-Chancellor	Archive electronically/ in print	No copies to be kept by other offices
5.6. Maintenance Service Management.					
5.6.1.	Maintenance Management Micro/small maintenances or changes	Permanently preserve (A)	Manager Technical Service and Facilities Management: Reporting to the Director Facilities, Logistics and Transport Services	Archive electronically/ in print	No copies to be kept by other offices
5.6.2.	<u>Routine, Daily, Preventative Maintenance</u> - Repairs requests 5-10 year plan - Preliminary quotations	Preserve and destroy after 3 years(D3)	Manager Technical Service and Facilities Management: Reporting to the Director Facilities, Logistics and Transport Services	Delete/Shred information after 3 years	No copies to be kept by other offices
5.6.3.	<u>Job Cards Administration and Reports</u>	Permanently preserve (A)	Manager Technical Service and Facilities Management: Reporting to the Director Facilities, Logistics and Transport Services	Archive electronically	No copies to be kept by other offices

5.6.4.	<u>Maintenance Contractor's Administration</u> <i>A file should be opened for each contractor and referenced by the name of contractor and contract duty.</i> <i>The file may contain the following documents:</i> • Tender advertisement and related documents • Discussion forums • Contract and payments	Preserve and destroy 5 years after expiry of contract (D5)	Manager Technical Service and Facilities Management: Reporting to the Director Facilities, Logistics and Transport Services	Delete/Shred information 5 years after the contract expired	No copies to be kept by other offices
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6. BRANDING, MARKETING AND COMMUNICATION

This main subject is used for the management of records relating to branding, marketing and communication activities of the university as a whole.

6.1. Brand Management.

6.1.1.	• Policies • Logos procedure • Social media guidelines • Institutional framework	Permanently preserve (A) after approval by Council and deleted or shred 6 years after superseded	Executive Director of Marketing and Communication: Reporting to the Vice-Chancellor	Archive electronically/ in print	Destroy/Shred after each update
6.1.2.	Strategy, Planning and Research	Preserve and destroy after 5 years(D5)	Executive Director of Marketing and Communication: Reporting to the Vice-Chancellor	Delete/Shred information after 5 years	No copies to be kept by other offices
6.1.3.	<u>Corporate Identity</u> • Manual	Permanently preserve (A) after each update	Executive Director of Marketing and Communication: Reporting to the Vice-Chancellor	Archive electronically/ in print	Destroy/Shred after each update

6.1.3.1.	<u>Logo</u> • Application form • Approvals • Register • Criteria matrix	Permanently preserve (A) as soon as finalised and approved	Executive Director of Marketing and Communication: Reporting to the Vice-Chancellor	Archive electronically/ in print	No copies to be kept by other offices
6.1.3.2.	<u>Clothing and Sportswear</u> 501.1.5.1. Official wear 501.1.5.2. Informal 501.1.5.3. Informal 501.1.5.4. Ceremonial regalia	Permanently preserve (A) design samples	Executive Director of Marketing and Communication: Reporting to the Vice-Chancellor	Archive electronically/ in print	No copies to be kept by other offices
6.1.3.3.	Signage	Permanently preserve (A) approved design paper samples	Executive Director of Marketing and Communication: Reporting to the Vice-Chancellor	Archive electronically/ in print	No copies to be kept by other offices
6.1.3.4.	Interior Designs	Permanently preserve (A) as soon as approved	Executive Director of Marketing and Communication: Reporting to the Vice-Chancellor	Archive electronically/ in print	No copies to be kept by other offices
6.1.3.5.	Certificates, medals and Trophies	Permanently preserve (A) paper samples as soon as completed	Executive Director of Marketing and Communication: Reporting to the Vice-Chancellor	Archive electronically/ in print	No copies to be kept by other offices

6.2. Communication Management.					
6.2.1.	<u>Communication Branding</u> • Cards and Invites • Graduation programmes • Publications, newsletters and annual reports • Media releases • Covers • Brochures • Study materials	Permanently preserve (A) paper samples as soon as completed	Executive Director of Marketing and Communication: Reporting to the Vice-Chancellor	Archive electronically/ in print	No copies to be kept by other offices
6.2.1.1.	<u>Advertising and Marketing Branding</u> • Corporate gifts • Promotional materials • Broadcasting(Radio and TV) • Posters	Permanently preserve (A) paper sample as soon as completed	Executive Director of Marketing and Communication: Reporting to the Vice-Chancellor	Archive electronically/ in print	No copies to be kept by other offices
6.2.1.2.	<u>Electronic Media Branding</u> • Video • E-mail • Website and designed webpages • PowerPoint • Intranet • Site map	Permanently preserve (A) paper/screenshots sample as soon as completed	Executive Director of Marketing and Communication: Reporting to the Vice-Chancellor	Archive electronically/ in print	No copies to be kept by other offices

6.3. Fundraising Management.					
6.3.1.	Fundraising Strategy and Plans	Permanently preserve (A)	Executive Director of Marketing and Communication: Reporting to the Vice-Chancellor	Archive electronically/ in print	No copies to be kept by other offices
6.3.2.	Sponsorship, Donations / Contributions	Preserve and destroy 5 years after financial audit (DAU5)	Executive Director of Marketing and Communication: Reporting to the Vice-Chancellor	Delete/Shred information 5 years after a financial audit is completed	No copies to be kept by other offices
6.3.2.1.	Award/ Grant Fund	Preserve and destroy 5 years after financial audit (DAU5)	Executive Director of Marketing and Communication: Reporting to the Vice-Chancellor	Delete/Shred information 5 years after a financial audit is completed	No copies to be kept by other offices
6.3.3.	Partnerships	Preserve and destroy after 6 years(D6)	Executive Director of Marketing and Communication: Reporting to the Vice-Chancellor	Delete/Shred information after 6 years	No copies to be kept by other offices
6.3.4.	<u>Projects</u> 6.3.4.1. Registration 6.3.4.2. Proposal	Preserve and destroy after 2 years(D2)	Executive Director of Marketing and Communication: Reporting to the Vice-Chancellor	Delete/Shred information after 2 years	No copies to be kept by other offices

6.4. Stakeholders Relations.					
6.4.1.	<u>Stakeholder and Business Relations</u> • Special internal events • Business sector relations	Permanently preserve (A) events photos, brochures/event material	Executive Director of Marketing and Communication: Reporting to the Vice-Chancellor	Archive electronically/ in print	No copies to be kept by other offices
6.4.2.	Stakeholders / Business Database Administration	Permanently preserve (A) electronically	Executive Director of Marketing and Communication: Reporting to the Vice-Chancellor	Archive electronically/ in print	No copies to be kept by other offices
6.5. Student Recruitment Management.					
6.5.1.	<u>Recruitment Management</u> • Strategy • Plan	Preserve and destroy after 3 years(D3)	Executive Director of Marketing and Communication: Reporting to the Vice-Chancellor	Delete/Shred information after 3 years	No copies to be kept by other offices
6.5.1.1.	<u>Liaison Programme</u> <u>Direct Marketing Programme</u> <u>Each liaison file should be referenced by number and event name.</u>	Preserve and destroy after 5 years(D5)	Executive Director of Marketing and Communication: Reporting to the Vice-Chancellor	Delete/Shred information after 5 years	No copies to be kept by other offices

6.6. Alumni and Convocation Management.					
6.6.1.	Alumni Database	Permanently preserve (A) electronically	Executive Director of Marketing and Communication: Reporting to the Vice- Chancellor	Archive electronically/ in print	No copies to be kept by other offices
6.6.2.	<u>Alumni Events</u> <i>Each event file should be referenced by number and event name</i>	Permanently preserve (A) events photos, brochures/event material	Executive Director of Marketing and Communication: Reporting to the Vice- Chancellor	Archive electronically/ in print	No copies to be kept by other offices
6.6.3.	Alumni Data Form	Permanently preserve (A) electronically	Executive Director of Marketing and Communication: Reporting to the Vice- Chancellor	Archive electronically/ in print	No copies to be kept by other offices

7. STUDENT AFFAIRS, ADMINISTRATION AND SYSTEMS

This main subject is used for management of records relating to student academic administration, including admissions, registration, class attendance, graduations etc. Majority of records will be held by respective Faculties and Academic Administration.

7.1. Academic Administration.

7.1.1.	<u>Policies</u> <i>Each policy file should be referenced with number and policy name. Examples of policies filed in this main subject are as follows:</i> • General Academic Rules • Admission Policy • Students Living with Disabilities Policy	Permanently preserve (A) (Reminder: Delete or shred after 6 years if superseded or updated)	Policy Owner and Records Manager	Archive electronically and delete/shred as indicate	No copies to be kept by other offices
7.1.1.1	<u>Procedures, Manuals, Guidelines and Strategies.</u> <i>Each file should be referenced with number and records name. Examples are:</i> • Examination Process Manual • Disciplinary code and procedure • Appeals procedure	Permanently preserve (A) (Reminder: Delete or shred after 6 years if superseded or updated)	Procedure/ Manual Owner and Records Manager	Archive electronically and delete/shred as indicate	No copies to be kept by other offices

7.1.2.	<u>Student Admission</u> • Application Form • Admission letter • Proof of payment for registration	Permanently preserve (A) This records forms part of the student file only if an application lead to registration	(Inactive records) Deputy Registrar / Assistant Registrar Students Records: Reporting to the University Registrar (Active records) Faculty Assistant Registrar: Reporting to the Faculty Executive Dean	Archive electronically/ in print	No copies to be kept by other offices
7.1.2.1.	<u>Student Admission Supporting Documentation</u> • Qualifications • Grade 12 results • Equivalent qualifications • Other degree/diplomas or certificates • Recognition of Prior Learning (RPL) declarations • Identification details • Letter regarding admission status	Permanently preserve (A) This records forms part of the student file only if an application lead to registration	(Inactive records) Deputy Registrar / Assistant Registrar Students Records: Reporting to the University Registrar (Active records) Faculty Assistant Registrar: Reporting to the Faculty Executive Dean	Archive electronically/ in print	No copies to be kept by other offices
7.1.2.2.	<u>International Student Admission Supporting Documents</u> • Matriculation exemption or completion of O and A level examinations • SAQA evaluation certificate • Department of Home Affairs application form (B1-1738) • Valid passport copy • Permit application proof of payment	Permanently preserve (A) This records forms part of the student file only if an application lead to registration	(Inactive records) Deputy Registrar / Assistant Registrar Students Records: Reporting to the University Registrar (Active records) Faculty Assistant Registrar: Reporting to the Faculty Executive Dean	Archive electronically/ In print	No copies to be kept by other offices

	• Accommodation or residence details / permits • Medical and radiological reports • Letter regarding admission status • Medical insurance • Official provisional UL acceptance letter				
7.1.2.3.	Admission Statistics	Permanently preserve (A) Form part of Management Committee records (Electronically available on ITS system)	Deputy Registrar / Assistant Registrar Students Records: Reporting to the University Registrar	Archive electronically/ in print	No copies to be kept by other offices

7.2. Student Registration and Records.					
7.2.1.	Registration Forms	Permanently preserve (A) This records forms part of the student file (Electronically available on ITS system)	(Inactive records) Deputy Registrar / Assistant Registrar Students Records: Reporting to the University Registrar (Active records) Faculty Assistant Registrar: Reporting to the Faculty Executive Dean	Archive electronically/ in print	No copies to be kept by other offices
7.2.1.1.	Proof of Registration	Permanently preserve (A) This records forms part of the student file (Electronically available on ITS system)	(Inactive records) Deputy Registrar / Assistant Registrar Students Records: Reporting to the University Registrar (Active records) Faculty Assistant Registrar: Reporting to the Faculty Executive Dean	Archive electronically/ in print	No copies to be kept by other offices
7.2.1.2.	Online / Web Registration	Permanently preserve (A) This records forms part of the student file (Electronically available on ITS system)	(Inactive records) Deputy Registrar / Assistant Registrar Students Records: Reporting to the University Registrar (Active records) Faculty Assistant Registrar: Reporting to the Faculty Executive Dean	Archive electronically/ in print	No copies to be kept by other offices

7.2.1.3.	Proof of Payment	Permanently preserve (A)This records forms part of the student file (Electronically available on ITS system)	(Inactive records) Deputy Registrar / Assistant Registrar Students Records: Reporting to the University Registrar (Active records) Faculty Assistant Registrar: Reporting to the Faculty Executive Dean	Archive electronically/ in print	No copies to be kept by other offices
7.2.2.	<u>Students Requests</u> 7.2.2.1. Change of Address 7.2.2.2. Application for Module Credit 7.2.2.3. Student grievances	Permanently preserve (A)This records forms part of the student file	(Inactive records) Deputy Registrar / Assistant Registrar Students Records: Reporting to the University Registrar (Active records) Faculty Assistant Registrar: Reporting to the Faculty Executive Dean	Archive electronically/ in print	No copies to be kept by other offices
7.2.3.	<u>Academic Record and Certificate of Conduct</u> • Current and archived student results	Electronically preserved on ITS system	Deputy Registrar / Assistant Registrar Students Records: Reporting to the University Registrar	Archive electronically/ in print	No copies to be kept by other offices
7.3. Termination of Studies.					
7.3.1.	<u>Termination of Studies Form</u> • Warning letters • Disciplinary action • Academic and module exclusion • Reasons for termination • Termination approval letter	Permanently preserve (A)This records forms part of the student file	(Inactive records) Deputy Registrar / Assistant Registrar Students Records: Reporting to the University Registrar	Archive electronically/ in print	No copies to be kept by other offices

			(Active records) Faculty Assistant Registrar: Reporting to the Faculty Executive Dean		
7.4. Class Attendance and Assessments.					
7.4.1.	Class Timetable	Preserve for 3 years (D3)	Faculty Assistant Registrar: Reporting to the Faculty Executive Dean	Delete/Shred information after 3 years	No copies to be kept by other offices
7.4.2.	Results	Electronically preserved on ITS system	Faculty Assistant Registrar: Reporting to the Faculty Executive Dean	Archive electronically/ in print	No copies to be kept by other offices
7.4.3.	Results Review Correspondence	Preserve for 3 years (D3)	Faculty Assistant Registrar: Reporting to the Faculty Executive Dean	Delete/Shred information after 3 years	
7.4.4.	List of Assignment Marked and Mark Sheet	Preserve for 3 years (D3)	Faculty Assistant Registrar: Reporting to the Faculty Executive Dean	Delete/Shred information after 3 years	No copies to be kept by other offices
7.4.5.	List of Assignment Received and Returned	Preserve for 3 years (D3)	Faculty Assistant Registrar: Reporting to the Faculty Executive Dean	Delete/Shred information after 3 years	No copies to be kept by other offices

7.5. Examinations and Results Administration.					
7.5.1.	Examination Time Tables	Electronically preserved on ITS system	Assistant Registrar Assessments / Examinations: Reporting to the University Registrar	Archive electronically/ in print	No copies to be kept by other offices
7.5.2.	<u>Eternal Examiners and Moderators</u> Appointment <i>Remunerations or payments are dealt with in the main subject 3 under sub-subject reference number 3.4.6.</i>	Preserve for 3 years (D3)	Assistant Registrar Assessments / Examinations: Reporting to the University Registrar	Delete/Shred information after 3 years	No copies to be kept by other offices
7.5.3.	<u>Examination Paper Administration</u> 7.5.3.1. Answer sheet 7.5.3.2. Cover sheet 7.5.3.3. Mark sheet	Preserve for 3 years (D3)	Assistant Registrar Assessments / Examinations: Reporting to the University Registrar	Delete/Shred information after 3 years	No copies to be kept by other offices
7.5.4.	<u>Invigilators</u> 7.5.4.1. Invigilator list 7.5.4.2. Invigilator timetable 7.5.4.3. Confirmation letter 7.5.4.4. Examination coordinator undertakings 7.5.4.5. Invigilation report 7.5.4.6. Correspondence	Preserve for 2 years (D2)	Chief Invigilator: Reporting to the University Registrar	Delete/Shred information after 2 years	No copies to be kept by other offices
7.5.5.	<u>Examination Centres / Venues</u> 7.5.5.1. Security i.e. attendance slips or _____ register and control form 7.5.5.2. List of venues 7.5.5.3. Venue evaluation form 7.5.5.4. Facilities evaluation report	Preserve for 2 years (D2)	Chief Invigilator: Reporting to the University Registrar	Delete/Shred information after 2 years	No copies to be kept by other offices

7.5.6.	<u>Examination Infringements</u> - Supporting documents - Report	Preserve for 3 years (D3)	Deputy Registrar / Assistant Registrar Students Records: Reporting to the University Registrar AND Faculty Dean: Reporting to the Executive Dean	Delete/Shred information after 3 years	No copies to be kept by other offices
7.5.7.	<u>Examination Results</u> 7.5.7.1. Examination committee mark statements 7.5.7.2. Mark change forms 7.5.7.3. Finalised assessment result statements	Preserve for 3 years (D3)	Deputy Registrar / Assistant Registrar Students Records: Reporting to the University Registrar AND Faculty Dean: Reporting to the Executive Dean	Delete/Shred information after 3 years	No copies to be kept by other offices
7.5.8	<u>Results Announcements</u> 7.5.8.1. SMS results 7.5.8.2. Result statistics	Preserve for 1 year (D1)	Deputy Registrar / Assistant Registrar Students Records: Reporting to the University Registrar	Delete/Shred information after 1 year	No copies to be kept by other offices

7.8. Counselling Services.					
7.8.1.	<i>A file is opened for each student and referenced by the type of counselling service provided and the student name, student number and year. All records for a specific counselling service must be bounded together and classified accordingly. The following represent counselling service examples:</i> • Career counselling and planning • Psychotherapy and counselling • Special needs • Special admissions examinations • Study difficulties <i>The above-mentioned files can contain records such as:</i> • Referral letter • Psychometric tests • Process notes • Protocols • Profile sheets • Letters/feedback	(The files opened in this main subject are strictly confidential and should be treated as such) Preserve for 4 years (D4)	Director Centre for Student Counselling and Development: Reporting to the Dean of Students	Delete/Shred information after 4 years	No copies to be kept by other offices
7.8.2.	Counselling Workshops <i>A file should be opened for each workshop conducted and referenced with the number and name of the workshop. The file can contain the following documentation:</i>	Preserve for 4 years (D4)	Director Centre for Student Counselling and Development: Reporting to the Dean of Students	Delete/Shred information after 4 years	No copies to be kept by other offices

	• Workshop evaluation forms • Attendance register • Sample of workshop materials				
7.8.3.	<u>Student Support/Aides</u> • Helpers list • Referrals • Campaigns • Monitoring • Training	Preserve for 2 years (D2)	Director Centre for Student Counselling and Development: Reporting to the Dean of Students	Delete/Shred information after 2 years	No copies to be kept by other offices
7.9. Culture Management.					
7.9.1.	<u>Culture Group / Society Management</u> <i>A file should be opened for each culture group/society and referenced with the number and culture group/society. The file can contain the following documentation regarding:</i> • Marketing and recruitment activities for each group/society • Performances • Competition results • Election documentation • Photos, programme and posters	Permanently preserve (A) each year before the election of the new committee	Manager Student Affairs: Reporting to the Dean of Students	Archive electronically/ in print	No copies to be kept by other offices
7.9.2.	<u>Special Culture Events / Projects</u> <i>A file should be opened for each special culture event /project and referenced with the number and culture event/project.</i>	Permanently preserve (A) after the end of the event	Manager Student Affairs: Reporting to the Dean of Students	Archive electronically/ in print	No copies to be kept by other offices

7.10. Health Care Services and Wellness.					
7.10.1.	<u>Student Wellness</u> <i>A file should be opened for each student and referenced with the number, name of a student, student number and year.</i> <i>The file can contain the following records:</i> • Proof of registration • Referral letters • Process notes • Reporting form • Financial information	Preserve for 3 years (D3)	Manager Health and Wellness Centre: Reporting to the Dean of Students	Delete/Shred information after 3 years	No copies to be kept by other offices
7.10.2.	<u>Projects</u> <i>A file should be opened for each project and referenced with the number and project name.</i>	After project finalisation, the Records Manager should be consulted to advise if the records have historical/archival value	Manager Health and Wellness Centre: Reporting to the Dean of Students	As directed	No copies to be kept by other offices
7.10.3.	Statistics and Diagnostic Index	Preserve for 5 years (D5)	Manager Health and Wellness Centre: Reporting to the Dean of Students	Delete/Shred information after 5 years	No copies to be kept by other offices
7.10.4.	Student Incapacities	Preserve for 3 years (D3)	Manager Health and Wellness Centre: Reporting to the Dean of Students	Delete/Shred information after 3 years	No copies to be kept by other offices

7.11. Careers Services and Academic Advising.

7.11.1.	<u>Career Expo</u> <i>A file should be opened and referenced with the number and year. The file can contain the following records:</i> • Registration forms • Attendance register • Evaluation forms	Preserve for 5 years (D5)	Director Centre for Student Counselling and Development: Reporting to the Dean of Students	Delete/Shred information after 5 years	No copies to be kept by other offices
7.11.2.	<u>Career Guide / Manual</u> <i>A file should be opened and referenced with the number and year</i>	Permanently preserve (A) immediately when finalised	Director Centre for Student Counselling and Development: Reporting to the Dean of Students	Archive electronically/ in print	No copies to be kept by other offices
7.11.3.	<u>Employment Symposium</u> <i>A file should be opened and referenced for each workshop with the number and workshop name. The file can contain the following records:</i> • Registration forms • Attendance register • Evaluation forms • Workshop materials • Report	Preserve for 5 years (D5)	Director Centre for Student Counselling and Development: Reporting to the Dean of Students	Delete/Shred information after 5 years	No copies to be kept by other offices

7.12. Student Discipline / Conduct Standards.

The records in this main subject are strictly confidential.

7.12.1.	<u>Student Disciplinary Hearing</u> <i>Each hearing should be dealt with separately and file created for each transgression. Referenced with date of hearing and accused names and initial, student number and year. The file can contain the following records:</i> 7.12.1.1. Investigation report 7.12.1.2. Notice of hearing 7.12.1.3. Notification register 7.12.1.4. Plea documents 7.12.1.5. Statements / Evidence 7.12.1.6. Hearing record 7.12.1.7. Appeal 7.12.1.8. Decision 7.12.1.9. Appeal result 7.12.1.10. Correspondences (Between the student, office, lawyers, lecturers, parents/guardian, etc.)	Preserve for 5 years (D5)	University Registrar: Reporting to the Vice-Chancellor	Delete/Shred information after 5 years	No copies to be kept by other offices
7.12.2.	Disciplinary Index	Preserve for 5 years (D5)	University Registrar: Reporting to the Vice-Chancellor	Delete/Shred information after 5 years	No copies to be kept by other offices
7.12.3.	Hearing Recordings	Preserve for 5 years (D5)	University Registrar: Reporting to the Vice-Chancellor	Delete/Shred information after 5 years	No copies to be kept by other offices
7.12.4.	Mediations	Preserve for 5 years (D5)	University Registrar: Reporting to the Vice-Chancellor	Delete/Shred information after 5 years	No copies to be kept by other offices

7.12.5.	<u>Prevention Programmes</u> - Plagiarism prevention sharing sessions - Academic integrity seminars	Preserve for 5 years (D5)	DVC Research, Innovation and Partnerships: Reporting to the Vice-Chancellor	Delete/Shred information after 5 years	No copies to be kept by other offices
7.13. Sports/ Recreation / Intramurals.					
7.13.1.	<u>Sporting Programmes Management</u> <i>A file should be opened for each sporting code and referenced for with the number and sports code. The file can contain the following records regarding participation, performance, marketing and recruitment for each sport code:</i> - Sport code constitution - Budget - Minutes - Management election documentation - Matches results/competitions - League fixtures - Player information - Sports code recruitment - Symposiums - Photos	Permanently preserve (A) immediately at the end of a sport season	Sport and Recreation Officer: Reporting to the Director for Sports and Recreation	Archive electronically/ in print	No copies to be kept by other offices
7.13.2.	<u>Special Sporting Event</u> <i>A file should be opened for each special sporting event and referenced for with the number and sports event.</i> - Sport prestige function - Awards	Permanently preserve (A) immediately after the event	Sport and Recreation Officer: Reporting to the Director for Sports and Recreation	Archive electronically/ in print	No copies to be kept by other offices

7.14. Student Administrative Systems Management.					
7.14.1.	<u>Manuals and Procedures for use of the System</u> <i>Separate manuals are referenced by number and name of manual.</i> 613.1.1. Security documentation	Preserved and destroy 1 year after changes have been effected / amendment	Manager Business System Administration: Reporting to the Executive Director of ICT	As indicated	No copies to be kept by other offices
7.14.2.	System Development	Preserve for 5 years (D5)	Manager Business System Administration: Reporting to the Executive Director of ICT	As indicated	No copies to be kept by other offices
7.14.3.	System Maintenance	Preserve for 5 years (D5)	Manager Business System Administration: Reporting to the Executive Director of ICT	As indicated	No copies to be kept by other offices
7.14.4.	<u>Calendar Administration</u> • Faculty calendar • Correspondences • Process • Submission to SAQA • Submission to DHET	Permanently preserve (A) after finalisation	Faculty Assistant Registrar: Reporting to the Faculty Executive Dean	Archive electronically/ in print	No copies to be kept by other offices
7.14.5.	<u>Student Management</u> <i>The records relating to the governance function of the Student Representative Council (SRC) should be filed in the number and sub-subject.</i>				
7.14.5.1	<u>SRC Portfolio Management</u> <i>A file should be opened and referenced by number and portfolio name.</i>	Permanently preserve (A)	SRC Portfolio Chairperson: Reporting to the SRC Chairperson	Archive electronically/ in print	No copies to be kept by other offices
7.14.5.2	<u>Internal Faculty Student Actions</u> <i>A file should be opened for each student action and referenced by number and faculty.</i>	Permanently preserve (A)	Faculty SRC Student Representative: Reporting to the SRC Chairperson	Archive electronically/ in print	No copies to be kept by other offices

7.14.5.3	<u>SRC Training</u> - Attendance register - Workshop material - Evaluation forms	Preserve for 3 years (D3)	Manager Student Affairs: Reporting to the Dean of Students	Delete/Shred information after 3 years	No copies to be kept by other offices
7.14.6.	<u>Student Training</u> <i>Orientation programme for 1st entering students / first-year students.</i> <i>The file can contain the following records:</i> - Arrangements - Programme	Permanently preserve (A) after finalisation	Dean of Students Reporting to the Vice-Chancellor	Archive electronically/ in print	No copies to be kept by other offices
7.15. Graduation Management.					
7.15.1.	Audited List of Graduates	Permanently preserve (A)	Deputy Registrar / Assistant Registrar Students Records: Reporting to the University Registrar	Archive electronically/ in print	No copies to be kept by other offices
7.15.2.	Graduation programme /booklet	Permanently preserve (A) after finalisation	Deputy Registrar / Assistant Registrar Students Records: Reporting to the University Registrar	Archive electronically/ in print	No copies to be kept by other offices
7.15.3.	Graduation Video/DVD/ Photos of the Ceremony	Permanently preserve (A) after finalisation	Head of Audio Visual Reporting to the Executive Director of Marketing and Communications	Archive electronically/ in print	No copies to be kept by other offices
7.15.4.	Graduation Statistics	Permanently preserve (A) on ITS	Deputy Registrar / Assistant Registrar Students Records: Reporting to the University Registrar	Archive electronically/ in print	No copies to be kept by other offices

7.15.5.	<u>Certificates</u> 7.15.5.1. Certificates register 7.15.5.2. Lost certificate replacement register 7.15.5.3. Graduation absentia register	Permanently preserve (A)	Deputy Registrar / Assistant Registrar Students Records: Reporting to the University Registrar	Archive electronically/ in print	No copies to be kept by other offices
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8. TEACHING AND LEARNING

This main subject is used to manage records relating to teaching and learning activities. The records owners responsible for these records will vary from academic staff, support staff, faculties schools and departments. The HEQC audit has made provision for every lecturer responsible for a module on the PQM (Programme and Qualification Mix) to keep and be the custodians of their respective module files.

8.1. Study Programme Management.

8.1.1.	<u>Module Files</u> - Study materials / hand-outs - Memorandum - Moderators reports - Student feedback / Module evaluation - Test / Class test - Assignments	Regarding the test, assignment scripts: Usually these records are handed back to the respective students. Uncollected scripts should be preserved for 3 years (D3)	Every University of Limpopo Lecturer responsible for the module: Reporting to the Head of Department	Uncollected scripts should be shredded after 3 years	No copies to be kept by other offices
8.1.2.	<u>Programme Management</u> 8.1.2.1 Programme and Qualification Mix (PQM)	Permanently preserve (A) after every update	Director Quality Assurance: Reporting to the Vice-Chancellor and Principal	Archive electronically/ in print	Delete/Shred after every update
8.1.3.	<u>Development and Design</u> 8.1.3.1. Research	Preserve for 5 years after completion of a research	Director of School and Director of Research Development and Administration	Delete/Shred information 5 years after completion of a research	No copies to be kept by other offices

8.1.4.	<u>Programme Approval</u> 8.1.4.1. New qualification or programme Registration 8.1.4.2. Qualification amendments or changes to be approved by DHET 8.1.4.3. New qualification / programme accreditation at the CHE (the HEQC online application) 8.1.4.4. Internal modification approval of an academic programme 8.1.4.5. Correspondences with national/statutory bodies 8.1.4.6. SAQA submissions 8.1.4.7. DHET submissions	Permanently preserve (A)	Director Quality Assurance: Reporting to the Vice-Chancellor and Principal	Archive electronically/ in print	No copies to be kept by other offices
8.1.5.	<u>Alignment</u> 8.1.5.1. Information regarding Programme alignment issues 8.1.5.2. Progress report and register on Alignment	Permanently preserve (A)	Director Quality Assurance: Reporting to the Vice-Chancellor and Principal	Archive electronically/ in print	No copies to be kept by other offices
8.1.6.	<u>Presentations</u> 8.1.6.1. Study guides 8.1.6.2. Supportive audio and digital study material	Permanently preserve (A) This record forms part of the module or programme file	Lecturer responsible for module: Reporting to the Head of Department	Archive electronically/ in print	Delete/Shred after 1 year

8.1.7.	<u>Production Schedules / Framework for Study Guides</u>	Electronic study material production programme must be Permanently preserved (A)	School Head of Department: Reporting to the Director of School	Archive electronically/ in print	No copies to be kept by other offices
8.1.8.	Electronic Teaching and Learning Technologies and Related Platforms	Preserve for 5 years (D5)	Director Academic Computing Support: Reporting to the Executive Director of ICT	Delete/Shred information after 5 years	No copies to be kept by other offices
8.1.9.	Assessment and Moderation				
8.1.9.1.	<u>Formative Assessment Planning is referenced by number and module code.</u>	Preserve for 3 years (D3) This record forms part of the module or programme file	Lecturer responsible for module: Reporting to the Head of Department	Delete/Shred information after 3 years	No copies to be kept by other offices
8.1.9.2.	<u>Test/Assignment Question Papers</u> <i>Test/assignment question papers are referenced by number and module code.</i>	Preserve for 3 years (D3) This record forms part of the module or programme file	Lecturer responsible for module: Reporting to the Head of Department	Delete/Shred information after 3 years	No copies to be kept by other offices
8.1.9.3.	<u>Test/Assignment Scripts</u> <i>Test/assignment scripts not collected by students are placed in a file according to student surnames and referenced by number and module code.</i>	Preserve for 3 years (D3) This record forms part of the module or programme file	Lecturer responsible for module: Reporting to the Head of Department	Delete/Shred information after 3 years	No copies to be kept by other offices
8.1.9.4.	<u>Memorandums</u> <u>Memos are referenced by number and module code.</u>	Preserve for 3 years (D3) This record forms part of the module or programme file	Lecturer responsible for module: Reporting to the Head of Department	Delete/Shred information after 3 years	No copies to be kept by other offices

8.1.9.5.	<u>Moderators Reports</u> <i>Moderators reports are referenced by number and module code.</i>	Preserve for 3 years (D3) This record forms part of the module or programme file	Lecturer responsible for module: Reporting to the Head of Department	Delete/Shred information after 3 years	No copies to be kept by other offices
8.1.10.	<u>Summative Assessment Planning</u> is referenced by number and module code.	Preserve for 3 years (D3) This record forms part of the module or programme file	Lecturer responsible for module: Reporting to the Head of Department And Assistant Registrar Assessments / Examinations: Reporting to the University Registrar	Delete/Shred information after 3 years	No copies to be kept by other offices
8.1.10.1.	<u>Examination Question Papers</u> <i>Exam papers are referenced by number and module code.</i>	Preserve for 3 years (D3) This record forms part of the module or programme file	Lecturer responsible for module: Reporting to the Head of Department And Assistant Registrar Assessments / Examinations: Reporting to the University Registrar	Delete/Shred information after 3 years	No copies to be kept by other offices
8.1.10.2.	<u>Examination Scripts or Answer Books</u> <u>Examination answer books or scripts are placed in a file according to student surname and initial, student number and module code</u>	Preserve for 3 years (D3) This record forms part of the module or programme file	Lecturer responsible for module: Reporting to the Head of Department And Assistant Registrar Assessments / Examinations: Reporting to the University Registrar	Delete/Shred information after 3 years	No copies to be kept by other offices
8.1.10.3.	<u>Moderators Reports</u> <u>8.1.10.3.1. Internal Reports are referenced by number and module code.</u> <u>8.1.10.3.2. External Reports are referenced by number and module code.</u>	Preserve for 3 years (D3) This record forms part of the module or programme file	Lecturer responsible for module: Reporting to the Head of Department	Delete/Shred information after 3 years	No copies to be kept by other offices

8.1.11.	<u>Remarking Process</u> <u>701.11.1. Remarking request form or Letter</u> <u>701.11.2. Result form</u>	Preserve for 3 years (D3) This record forms part of the module or programme file	Lecturer responsible for module: Reporting to the Head of Department And Assistant Registrar Assessments / Examinations: Reporting to the University Registrar	Delete/Shred information after 3 years	No copies to be kept by other offices
8.2. Short Course Management.					
8.2.1.	<u>Short Course Management</u> <i>Individual short courses should be referenced by number and the name of the short course management module and the module lecturer details. The following records must be available in a short course file:</i> 702.1.1. Administration records 702.1.2. Presentation records 702.1.3. Assessment and moderation records 702.1.4. Financial records according to the main subject 702.1.5. Quality assurance correspondences records 702.1.6. Approval forms Retention Period: Preserve for 3 years (D3) Office Responsible for the Master Copy: Director Quality Assurance, Lecturer responsible for short course and Assistant Registrar Assessments / Examinations.				
8.3. Student Academic Development and Monitoring.					
8.3.1.	<u>Supplemental Instruction (SI)</u> 8.3.1.1. Referral letter 8.3.1.2. SI progress report 8.3.1.3. Warning letters to students	A copy to be sent to a student file. Permanently preserve (A)	Director Centre for Academic Excellence: Reporting to the Deputy Vice-Chancellor Teaching and learning	Archive electronically/ in print	No copies to be kept by other offices

8.2. Short Course Management.					
8.2.1.	<u>Short Course Management</u> <i>Individual short courses should be referenced by number and the name of the short course management module and the module lecturer details. The following records must be available in a short course file:</i> 702.1.1. Administration records 702.1.2. Presentation records 702.1.3. Assessment and moderation records 702.1.4. Financial records according to the main subject 702.1.5. Quality assurance correspondences records 702.1.6. Approval forms Retention Period: Preserve for 3 years (D3) Office Responsible for the Master Copy: Director Quality Assurance, Lecturer responsible for short course and Assistant Registrar Assessments / Examinations.				
8.3. Student Academic Development and Monitoring.					
8.3.1.	<u>Supplemental Instruction (SI)</u> 8.3.1.1. Referral letter 8.3.1.2. SI progress report 8.3.1.3. Warning letters to students	A copy to be sent to a student file. Permanently preserve (A)	Director Centre for Academic Excellence: Reporting to the Deputy Vice-Chancellor Teaching and learning	Archive electronically/ in print	No copies to be kept by other offices
8.3.2.	<u>Student Mentorship Programme</u>	Preserve for 5 years (D5)	Director Centre for Academic Excellence: Reporting to the Deputy Vice-Chancellor Teaching and learning	Delete/Shred information after 5 years	No copies to be kept by other offices
8.3.3.	<u>SI Programme Evaluation</u>	Preserve for 3 years (D3)	Director Centre for Academic Excellence: Reporting to the Deputy Vice-Chancellor Teaching and learning	Delete/Shred information after 3 years	No copies to be kept by other offices
8.3.4.	<u>SI Facilitators Training Records</u>	Preserve for 3 years (D3)	Director Centre for Academic Excellence: Reporting to the Deputy Vice-Chancellor Teaching and learning	Delete/Shred information after 3 years	No copies to be kept by other offices

8.3.5.	Reports and Statistics	Preserve for 3 years (D3)	Director Centre for Academic Excellence: Reporting to the Deputy Vice-Chancellor Teaching and learning	Delete/Shred information after 3 years	No copies to be kept by other offices
8.3.6.	RPL Candidates Support	Preserve for 3 years (D3)	Director Centre for Academic Excellence: Reporting to the Deputy Vice-Chancellor Teaching and learning	Delete/Shred information after 3 years	No copies to be kept by other offices
8.3.7.	Academic Mentors Programme	Preserve for 3 years (D3)	Director Centre for Academic Excellence: Reporting to the Deputy Vice-Chancellor Teaching and learning	Delete/Shred information after 3 years	No copies to be kept by other offices

8.3.8.	Attendance Lists	Preserve for 3 years (D3)	Director Centre for Academic Excellence: Reporting to the Deputy Vice-Chancellor Teaching and learning	Delete/Shred information after 3 years	No copies to be kept by other offices
8.3.9.	Learning Programmes Development	Preserve for 3 years (D3)	Director Centre for Academic Excellence: Reporting to the Deputy Vice-Chancellor Teaching and learning	Delete/Shred information after 3 years	No copies to be kept by other offices
8.4. Student Throughput.					
8.4.1.	<u>Undergraduate Student Throughput</u> • Specific Targets • Throughput rates <i>E.g. Faculties and schools throughput targets.</i>	Preserve for 5 years (D5)	Deputy Vice-Chancellor Teaching and learning: Reporting to the Vice-Chancellor	Delete/Shred information after 5 years	No copies to be kept by other offices
8.4.2.	Pass Norms	Preserve for 5 years (D5)	Faculty Executive Dean: Reporting to the Deputy Vice-Chancellor Teaching and learning	Delete/Shred information after 5 years	No copies to be kept by other offices
8.4.3.	Strategies, Initiatives, Interventions Development	Preserve and destroy 3 years (D3) after strategy, initiative, the intervention has been conceptualised and put into policy or procedure.	Director Centre for Academic Excellence: Reporting to the Deputy Vice-Chancellor Teaching and learning	Delete/Shred information 3 years after strategy, initiative, the intervention has been conceptualised	No copies to be kept by other offices
8.4.4.	Teaching and Learning Projects A file should be opened for each project and referenced by number and project name.	Preserve and destroy 5 years (D5) after project completion	Director Centre for Academic Excellence: Reporting to the Deputy Vice-Chancellor Teaching and learning	Delete/Shred information 5 years after project completion	No copies to be kept by other offices

8.5. Academic Staff Development Management.

8.5.1.	<u>Annual Vice Chancellor's Research, Teaching, Learning and Community Engagement Awards</u> <i>A file should be opened for every lecturer taking part / nominated in the awards and referenced by number, year and lecturer details including staff number. The file may include any of these records:</i>				
8.5.1.1.	Application form	Permanently preserve (A)	Manager Research Administration and Development: Reporting to the Deputy Vice-Chancellor; Research, Innovations and Partnerships	Archive electronically/ in print	No copies to be kept by other offices
8.5.1.2.	Awards Annual Winners Database	Permanently preserve (A)	Manager Research Administration and Development: Reporting to the Deputy Vice-Chancellor; Research, Innovations and Partnerships	Archive electronically/ in print	No copies to be kept by other offices
8.5.1.3.	Function Documents and Administration	Permanently preserve (A) Including photos and function programme	Manager Research Administration and Development: Reporting to the Deputy Vice-Chancellor; Research, Innovations and Partnerships	Archive electronically/ in print	No copies to be kept by other offices
8.5.1.4.	Awards Related Documentation • Panel member list • Evaluation forms • Scorecards • Results • Congratulation letters	Preserve for 5 years (D5)	Manager Research Administration and Development: Reporting to the Deputy Vice-Chancellor; Research, Innovations and Partnerships	Delete/Shred information after 5 years	No copies to be kept by other offices

8.5.2.	<u>Induction Course for New Lecturers</u> • Registration form • Attendance list • Programme • Training materials • Evaluation reports • Certification	Preserve for 3 years (D3)	Faculty Executive Dean: Reporting to the Deputy Vice-Chancellor Teaching and learning	Delete/Shred information after 3 years	No copies to be kept by other offices
8.5.2.1.	Attendance Report and Attendees Record	Permanently preserve (A)	Faculty Executive Dean: Reporting to the Deputy Vice-Chancellor Teaching and learning	Archive electronically/ in print	No copies to be kept by other offices

9. RESEARCH DEVELOPMENT AND INNOVATIONS

This main subject is used to manage records relating to research support and postgraduate education with a research component activities and entities i.e. monitoring and reporting research activities, research ethics and research output management and the electronic research management system etc.

9.1. Research Funding Management.

9.1.1.	Internal Funding				
9.1.1.1.	<u>Postdoctoral Fellowship Programme</u> • Application • Evaluation • Reporting	Preserve and destroy 5 years after financial audit (DAU5)	Director of Department of Research Development and Administration: Reporting to the Deputy Vice-Chancellor; Research, Innovations and Partnerships	Delete/Shred information 5 years after a financial audit is completed	No copies to be kept by other offices
9.1.1.2.	<u>Contributions for Innovative Institutional Research Agency</u> • Research support • Skills development • Collaboration and partnerships • Research assessment • Monitoring/reporting	Preserve and destroy 5 years after financial audit (DAU5)	Director of Department of Research Development and Administration: Reporting to the Deputy Vice-Chancellor; Research, Innovations and Partnerships	Delete/Shred information 5 years after a financial audit is completed	No copies to be kept by other offices

9.1.1.3.	<u>Seed Research Funding</u> • Application • Evaluation • Monitoring/reporting	Preserve and destroy 5 years after financial audit (DAU5)	Director of Department of Research Development and Administration: Reporting to the Deputy Vice-Chancellor; Research, Innovations and Partnerships	Delete/Shred information 5 years after a financial audit is completed	No copies to be kept by other offices
9.1.1.4.	<u>Seed Research Projects</u> • Application • Report	Preserve and destroy 5 years after financial audit (DAU5)	Director of Department of Research Development and Administration: Reporting to the Deputy Vice-Chancellor; Research, Innovations and Partnerships	Delete/Shred information 5 years after a financial audit is completed	No copies to be kept by other offices
9.1.1.5.	<u>Institutional Research Excellence Awards (IREA)</u> • Authors list • Award letter • IREA calculations • Nominations letters • IREA honorarium claims	Preserve and destroy 5 years after financial audit (DAU5)	Director of Department of Research Development and Administration: Reporting to the Deputy Vice-Chancellor; Research, Innovations and Partnerships	Delete/Shred information 5 years after a financial audit is completed	No copies to be kept by other offices
9.1.2.	External Funding				
9.1.2.1.	<u>Funding Bodies</u> <i>A file should be opened for each funding entity and referenced by number and name of an entity.</i>	Preserve and destroy 5 years after financial audit (DAU5)	Director of Department of Research Development and Administration: Reporting to the Deputy Vice-Chancellor; Research, Innovations and Partnerships	Delete/Shred information 5 years after a financial audit is completed	No copies to be kept by other offices

9.2. Research Capacity Development.

9.2.1.	<u>Research Workshops</u> <i>A file should be opened for each workshop and referenced by number and workshop name. The following records may be stored in the file:</i> • Workshop material • Attendance register • Programme • Reports	Preserve for 5 years (D5)	Manager Research Administration and Development: Reporting to the Deputy Vice-Chancellor; Research, Innovations and Partnerships	Delete/Shred information after 5 years	No copies to be kept by other offices
9.2.2.	<u>Accolades/Awards</u> • Nominations • Committee screening records • Winners notification • Certificates	Permanently preserve (A)	Director of Department of Research Development and Administration: Reporting to the Deputy Vice-Chancellor; Research, Innovations and Partnerships	Archive electronically/ in print	No copies to be kept by other offices
9.2.3.	<u>Researchers Rating (NRF)</u> • Application • Submission • Correspondences and announcement • Endorsement	Permanently preserve (A)	Director of Department of Research Development and Administration: Reporting to the Deputy Vice-Chancellor; Research, Innovations and Partnerships	Archive electronically/ in print	No copies to be kept by other offices
9.2.4.	<u>Conference/Workshop Attendance Funding</u> • Budget • Application • Report	Preserve for 5 years (D5)	Director of Department of Research Development and Administration: Reporting to the Deputy Vice-Chancellor; Research, Innovations and Partnerships	Delete/Shred information after 5 years	No copies to be kept by other offices

9.3. Implementation of Research Innovation Strategy.					
9.3.1.	<u>Facilitation of Research Entity Model</u>				
9.3.1.1.	Indication of Intent	Permanently preserve (A)	Secretariat Research Administration and Development: Reporting to the Manager Research Administration and Development		No copies to be kept by other offices
9.3.1.2.	Research Evaluation	Permanently preserve (A)	Secretariat Research Administration and Development: Reporting to the Manager Research Administration and Development	Archive electronically/ in print	No copies to be kept by other offices
9.3.1.3.	Full Research Proposal and Evaluation	Permanently preserve (A)	Secretariat Research Administration and Development: Reporting to the Manager Research Administration and Development	Archive electronically/ in print	No copies to be kept by other offices
9.3.1.4.	Research Strategic Plans	Permanently preserve (A) as soon as finalised	Director of Department of Research Development and Administration: Reporting to the Deputy Vice-Chancellor; Research, Innovations and Partnerships	Archive electronically/ in print	No copies to be kept by other offices
9.3.2.	<u>Research Monitoring and Reporting</u> - Annual research report - Annual research entities report	Permanently preserve (A)	Director of Department of Research Development and Administration: Reporting to the Deputy Vice-Chancellor;	Archive electronically/ in print	No copies to be kept by other offices

	<i>A reports file must be opened and referenced by number and year.</i>		Research, Innovations and Partnerships		
9.3.2.1.	<u>Research Project Management</u> • Project plan • Project management managers meetings	Permanently preserve (A)	Manager Research Administration and Development: Reporting to the Deputy Vice-Chancellor; Research, Innovations and Partnerships	Archive electronically/ in print	No copies to be kept by other offices
9.3.2.2.	Research Surveys, Benchmarking and Tendency Analysis	Preserve for 5 years (D5)	Director of Department of Research Development and Administration: Reporting to the Deputy Vice-Chancellor; Research, Innovations and Partnerships	Delete/Shred information after 5 years	No copies to be kept by other offices
9.3.3.	<u>Research Ethics Management</u> • Protocol applications • Assessments • Approval, rejection, revision letters • Approval certificate • Research project reports • Related/ relevant forms	Permanently preserve (A) as part of the Research Ethics Committee records	Secretariat Research Administration and Development: Reporting to the Manager Research Administration and Development	Archive electronically/ in print	No copies to be kept by other offices

9.3.4.	<u>Research Output Management</u> • Publication Subsidy Claim <i>A file should be opened for the following sub-subject referenced by number and name workshop and referenced by number and researcher's name.</i> <i>The following records may be stored in the file:</i> • Supporting documentation for article(s) • Supporting documentation for books • Supporting documentation for conference proceedings • UL panel meeting • DHET forms • Subsidy claim • DHET feedback report	Preserve and destroy 5 years after financial audit (DAU5)	Manager Research Administration and Development: Reporting to the Deputy Vice-Chancellor; Research, Innovations and Partnerships	Delete/Shred information 5 years after a financial audit is completed	No copies to be kept by other offices
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10. SKILLS IMPLEMENTATION

This main subject is used to manage records relating to skills implementation as spelt out in the University's Skills Implantation Framework.

10.1. Community Engagement Programme Management.

10.1.1.	Community Engagement Strategy	Permanently preserve (A)	Director Rural Development and Innovations Hub: Reporting to the Deputy Vice-Chancellor; Research, Innovations and Partnerships	Archive electronically/ in print	No copies to be kept by other offices
10.1.2.	Projects Database	Permanently preserve (A) after every update	Director Rural Development and Innovations Hub: Reporting to the Deputy Vice-Chancellor; Research, Innovations and Partnerships	Archive electronically after every update	No copies to be kept by other offices
10.1.3.	Catalogues	Permanently preserve (A)	Director Rural Development and Innovations Hub: Reporting to the Deputy Vice-Chancellor; Research, Innovations and Partnerships	Archive electronically/ in print	No copies to be kept by other offices

10.1.4.	<u>Community Engagement Projects</u> <i>A file will be opened for each project depending on the nature of the project. The University Records Manager will provide guidance. The created files will be referenced by number and project name.</i> 10.1.4.1. Social responsibility projects 10.1.4.2. Charity projects 10.1.4.3. Social Investment Projects <i>Each file can contain the following records:</i> • Beneficiaries information • Funding • Terms and conditions • Project impact assessment • Screening	Preserve and destroy 5 years after financial audit (DAU5)	Director Rural Development and Innovations Hub: Reporting to the Deputy Vice-Chancellor; Research, Innovations and Partnerships	Delete/Shred information 5 years after a financial audit is completed	Delete/Shred after 1 year
10.1.5.	<u>Community Outreach</u> <i>A file is opened and referenced by number and outreach initiative name.</i>	Preserve and destroy 5 years after financial audit (DAU5)	Director Rural Development and Innovations Hub: Reporting to the Deputy Vice-Chancellor; Research, Innovations and Partnerships	Delete/Shred information 5 years after a financial audit is completed	Delete/Shred after 1 year

10.2. Professional Expertise and Resource Sharing.					
10.2.1.	<u>List of Activities</u> <i>This matter is also dealt with as part of the UL performance management system.</i>	Permanently preserve (A) after every update	Deputy Vice-Chancellor; Research, Innovations and Partnerships: Reporting to the Vice-Chancellor	Archive electronically/ in print	Delete/Shred after 1 year
10.2.2.	<u>Law Clinic Case Files</u> <i>Referenced by patron surname and initial.</i>	Preserve and destroy 5 years after the case is finalised (D5)	Officer in charge of the case	Delete/Shred information 5 years after the case is finalised	No copies to be kept by other offices
10.2.3.	<u>Internship Training Programmes</u> <i>Referenced by interns surname, initials and identification number.</i>	Preserve for 5 years (D5)	Officer in charge of the Programme	Delete/Shred information after 5 years	Delete/Shred after 1 year
10.3. Innovative Dedicated Activities.					
10.3.1.	<u>Specialised Innovation Activities</u> <i>A file will be opened for each specialised activity, depending on the nature of the activity. The created files will be referenced by number and activity name.</i> Retention Period: Depending on the nature of the activity, some files will be destroyed and some archived. The University Records Manager will provide guidance. Office Responsible for the Master Copy: Director of Rural Development and Innovations Hub: Reporting to the Deputy Vice Chancellor; Research, Innovations and Partnerships				
10.4. Knowledge Sharing and Commercialisation.					
10.4.1.	<u>Technology Transfer and Commercialisation</u> 10.4.1.1. Patent Based Cases	Permanently preserve (A)	Deputy Vice-Chancellor; Research, Innovations and Partnerships: Reporting to the Vice-Chancellor	Archive electronically/ in print	Delete/Shred after 1 year
10.4.1.2.	Non-Patent Based cases	Permanently preserve (A)	Deputy Vice-Chancellor; Research, Innovations and Partnerships: Reporting to the Vice-Chancellor	Archive electronically/ in print	Delete/Shred after 1 year

10.4.1.3.	Entrepreneurship, Development and Training	Permanently preserve (A)	Deputy Vice-Chancellor; Research, Innovations and Partnerships: Reporting to the Vice-Chancellor	Archive electronically/ in print	Delete/Shred after 1 year
10.4.1.4.	Innovation Competitions	Permanently preserve (A)	Deputy Vice-Chancellor; Research, Innovations and Partnerships: Reporting to the Vice-Chancellor	Archive electronically/ in print	Delete/Shred after 1 year
10.4.1.5.	Consultation and Innovation Services	Permanently preserve (A)	Deputy Vice-Chancellor; Research, Innovations and Partnerships: Reporting to the Vice-Chancellor	Archive electronically/ in print	Delete/Shred after 1 year
10.4.1.6.	Business Development	Permanently preserve (A)	Deputy Vice-Chancellor; Research, Innovations and Partnerships: Reporting to the Vice-Chancellor	Archive electronically/ in print	Delete/Shred after 1 year
10.5. Self-Development and Students Recruitment.					
10.5.1.	<u>Student Development Activities</u>				
10.5.1.1.	Faculties initiatives	Permanently preserve (A)	Dean of the Faculty: Reporting to the Faculty Executive Dean	Archive electronically/ in print	Delete/Shred after 1 year
10.5.1.2.	<u>Sports week</u> <i>Please also refer to university sports management activities.</i>	Permanently preserve (A)	Sport and Recreation Officer: Reporting to the Director for Sports and Recreation	Archive electronically/ in print	Delete/Shred after 1 year
10.5.1.3.	<u>Orientation week</u> <i>Please also refer to university marketing activities.</i>	Permanently preserve (A)	Executive Director of Marketing and Communication Service: Reporting to the Vice-Chancellor	Archive electronically/ in print	Delete/Shred after 1 year

10.5.1.4.	Activities List	Permanently preserve (A) after every update	Director Rural Development and Innovations Hub: Reporting to the Deputy Vice-Chancellor; Research, Innovations and Partnerships	Archive electronically/ in print	Delete/Shred after 1 year
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FILE PLAN MAINTENANCE AND REVIEW

4. FILE PLAN MAINTENANCE

The file plan and Disposal Scheduled must be maintained and updated to ensure that they remain relevant, accurate and up to date. Particularly relating to changes in legislation and statutory requirements. It might be necessary to:

- Amend retention periods or triggers.
- Add new main subjects or sub-subjects if a new function or activity is added.
- Remove the main subject which is no longer required, produce or receive records.
- Add new record owners or office responsible for the records master copy.

5. FILE PLAN REVIEW

Annual review of the File Plan and Disposal Schedule will be carried out by the University Records Manager in the first quarter of each year (January – March). Approved amendments and reviews will be incorporated in the University Registrar Annual Report. Please contact the Office of the University Registrar at office.registrar@ul.ac.za for assistance in identifying records that have historical value/vital records and to discuss preservation options for such records to meet compliance obligations.