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Records Retention Schedule



Implementation date: 2/15/2022

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Records Retention Schedule

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¹ Rules Owner: Head(s) of Responsibility Centre(s) in which the rules functions.

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1. Introduction

This retention schedule and rules are governance tools for Stellenbosch University's (SU) hard copy (paper) and electronic records in terms of legal, financial, research and institutional requirements.

Stellenbosch University is subject to various laws that require compliance in the management and retention of its records. While taking legislation into account, it is also based on a common model used in other higher education institutions in South Africa and internationally. The schedule is founded on best practices and benchmarking, and a process of internal consultation was used to obtain the input of the Stellenbosch University internal stakeholders. The Joint Information Systems Committee (JISC)¹ guidelines were also referenced, as these guidelines address the documents and records commonly found in higher education institutions.

A retention schedule, read with the Records Management Policy and the File Plan, is firstly an essential component of an efficient and effective records management system. Secondly it provides the basis for consistent action on records and eliminates the need for individuals to make decisions on how long records should be retained. Thirdly it assists the University in reducing storage, printing and copying costs, and lastly it ensures that the University keep critical legal evidence and preserve records with long-term historical, research and institutional value.

2. Intent

The intent of this schedule is to define Records Management practices for physical and electronic records for Stellenbosch University (SU) in pursuance of legal obligations or in the transaction of business, ensuring that records:

- meet all regulatory and institutional business requirements,
- are retained and accessible for as long as they have business value to SU after which time they are disposed of in an appropriate manner, and
- can be retrieved and accessed by everyone who is entitled to use them.

3. Application

These rules apply to all Stellenbosch University (SU) employees, contractors, consultants, and students who manage, view, or create electronic and hard copy (paper) records, including documents and any associated data or information, in all formats and in all media.

Any reference to records in these rules, and its appendices, is a reference to records and documents created, received, and maintained. These serve as evidence of transactional activities by the institution or person, in pursuance of legal obligations or in the execution of responsibilities.

4. Scope

These rules apply to electronic, multi-media (including recordings of meetings) and hard copy records in all formats created, received, managed, stored, retained, and disposed by SU. It includes all institutional, commercial, and technical records relevant to the work of SU.

¹ JISC is a United Kingdom not-for-profit company whose role is to provide digital solutions for UK education and research.
<https://www.jisc.ac.uk/about>

5. Vital and non-vital records: not all records need keeping.

5.1 Vital records

Vital records are those records without which the University cannot continue to operate, and which protect the assets and interests of SU. These records must be retained according to the SU Retention Schedule rule.

Examples of vital records:

- Contracts
- Employee records
- Funding applications
- General ledgers
- Minutes of and reports generated from meetings (including recordings)
- Payroll records
- Policies, regulations, and procedures
- Research reports
- Student academic records
- Student applications
- Transcripts

5.2 Non-vital Records

Some records have no significant operational, informational, or evidential value and can be destroyed as soon as they are no longer useful.

Examples of non-vital records:

- Working papers, duplicates, and superseded draft documents
- Administrative records, e.g., notices, routing or compliments slips and other items which accompany documents but do not add any value to them, routine enquiries, post-it notes, message slips, personal diaries and address books, superseded address or distribution lists
- Duplicate documents, such as cc emails, unaltered drafts, snapshots or extracts from databases etc.
- Published material which is obsolete or superseded, such as trade magazines, posters, prospectuses, catalogues, manuals, directories, and forms, that are not SU related
- External publications e.g., pricelists, brochures, catalogues

6. Retention of Personal Information

“Personal information is any information that can be used to identify a person or a business. This includes the information you may have of your customers, your employees or service providers.”

The personal information of students, employees, and partners are managed and protected in line with the Protection of Personal Information Act 4 of 2013, related South African legislation, the POPIA Code of Conduct: Public Universities / Universities South Africa (2020) and Stellenbosch University's Data Privacy Regulation. The SU Data Privacy Regulation articulates the institutional stance on privacy; and clarify POPIA's principles within SU's institutional context and values. (Stellenbosch University. Information Governance Division, 2020) (Universities South Africa, 2020; Stellenbosch University, 2019).

The retention of personal information should be managed in terms of Section 14(1) to (3) of the POPIA Act, which state the following:

Personal information must not be retained for any longer than is necessary to achieve the purpose of collection. However, there are instances in which an institution can justify retaining the information for longer periods. These justifications include:

- Retaining the information because it is required by a piece of legislation.
- Retaining the information because the institution requires the information for lawful purposes related to its functions or activities.
- Retaining the information as it is required by a contract between the parties.
- Retaining the information because a data subject, or a competent person in the case of a child, consents to the retention.
- Retaining the information for historical or research purposes. This is allowed as long as safeguards are put in place that prevent the records from being used for any other purpose.
- Retaining the personal information to use it to make a decision about a data subject. The information must be retained for any period required or prescribed by law, or if no period is prescribed then the period required in the context to give the data subject reasonable opportunity to request access to the record.

An institution must destroy personal information as soon as reasonably practicable after it no longer has any justification to retain it. Personal information is considered destroyed if it cannot be reconstructed in an intelligible form again.

7. Record Destruction Hold

Certain events may occur that will require a stop or delay to the regular destruction, recycling, or normal disposal of records. These records may then not be transferred or destroyed until notice is given by the Records Manager. Specific instructions about the records which needs to be preserved beyond their usual retention periods will be given by the Records Manager and SU's Legal Services to all employees involved.

In addition to the Records Destruction Hold directive, all email memos, forms, and other information used to disseminate the Records Destruction Hold or relate to it, shall be retained and managed as evidence.

A Record Destruction Hold can be implemented on:

7.1 Audits

All destruction of records in a specific area or function cease when a record audit is done. During the audit records must be made available to the auditors subject to confidentiality and personal information legislation and requirements.

Upon completion and resolution of the audit, records may be disposed of in accordance with SU's Records Retention Schedule.

7.2 Investigations

Upon notification of an investigation in a specific area or function, all records must be preserved until completion of the investigation. The person being investigated should consult with their own legal counsel and SU's Legal Services for specific advice.

7.3 Litigation

The destruction or other disposition of all records reasonably related to the subject matter, must be suspended when litigation is anticipated or when notification of this is received. The suspension will be ended once the matter has been resolved. (United Nations. Archives and Records Management Section, 2012) (University of Nevada, Reno, 2018)

8. Storage of Electronic and Physical Records

8.1 Managing electronic records

All vital electronic documents must be stored in SU's records repository, SUN-Records (<http://sunrecords.sun.ac.za/>)

SUN-Records will automatically identify records for disposal and notify the document owners, curators and Records Manager. The document owner and Records Manager can then authorise disposal.

Vital electronic records **must NOT** be stored on any of the following media. ***Where there is an existing version on one of these devices, it must be migrated (only copied, not moved) to the SUN-Records repository***

- External Portable hard drives
- Local Hard drives on Laptops or Desktops
- As PST Files on Laptops
- Home Drives
- CDs
- USB Drives
- Any other media *not specified* as an official repository

8.2 E-mail

Retention of e-mails is based on the **informational content** of the email or any other carrier of information, , and not the email itself The retention periods and responsibilities should be determined and applied according to its informational content, e.g., correspondence about a research agreement should be retained as indicated under 7. Legal Management – Agreements.

8.3 Managing physical records storage

Physical records must be kept in secure and safe storage areas until transfer to the SU Archives, or disposition as indicated in the Retention Schedule, occur.

Physical records include paper, audiovisual material, microforms, and machine-readable formats such as magnetic tapes and optical discs and exclude electronic records on networks and/or on hard drives.

Where an environment has outsourced its physical records management operations, it is the environment's responsibility to ensure that its records are stored in conditions that are consistent with these rules.

Whether an environment stores its records in its own facilities or outsources its records storage, it needs to choose a storage solution that:

- best meets the needs of the environment;
- ensures the accessibility and preservation of the records for as long as they are needed;
- ensures records are stored under environmental conditions appropriate to their format and retention period;
- ensures storage sites, facilities and areas are located away from known hazards, e.g., water, fire, atmospheric pollutants, rodents, and insect infestations, and is convenient to user needs;
- ensures that records are secure, and protected from deterioration and environmental hazards; and
- ensures that records are stored and controlled in facilities where they can be identified and retrieved easily.

9. Audio Recordings of meetings: use, retention and destruction

The minutes of a meeting is the official record of the decisions that were taken at the meeting. Audio recordings are “temporary records”, intended to:

- i) assist the person responsible for drafting the minutes
- ii) ensure the accuracy of the minutes prior to approval
- iii) ensure the accurate recording of decisions
- iv) assist in the preparation of the meeting minutes

For security and/or confidentiality purposes, only the secretariat or the Chairperson of the Committee may make a recording during the meeting. Once the minutes are approved by the applicable committee and signed by the Chairperson they are no longer needed and must be managed as indicated in paragraph 9.1. below.

9.1 Storage, Retention and Destruction

9.1.1 Storage

Audio recordings of meetings must be stored securely on the SUN-Records Records Management Repository until such time that their retention period, stated in paragraph 9.1.3 below, has lapsed. The secretariat is responsible for this action.

9.1.2 Access

9.1.2.1 Access will be granted for the purpose of ensuring the accuracy of the meeting minutes to the Chairperson of the Committee, the Rector and Vice-Chancellor, the rector's management team, the Registrar and the person responsible for the relevant committee's secretariat.

9.1.2.2 Audio recordings for minute verification purposes will be available to members of the applicable committee until the date on which the minutes of the meeting is approved.

9.1.2.3 Non-committee members will only be allowed access to audio recordings with authorization from the Chairperson of the Committee or the Rector and Vice-Chancellor or his/her delegate.

9.1.2.4 Access to recordings for legal purposes by external parties:

Approved minutes (hard copy or electronic format), the official record of a meeting, may be provided to external parties. However, if the minutes has not been approved yet at the time of the request, written requests by external parties for access to audio recordings will only be granted by the Registrar if required by law to do so. If access is granted, external parties will be able to listen to the recordings at the Registrar's office, the Registrar's delegate or the office of the University Secretariat during official office hours. Copies of recordings will not be provided.

9.1.3 Destruction

9.1.3.1 Audio records will be available only until the minutes of the meeting, to which they relate, have been approved. Hereafter all files and related media will be destroyed.

9.1.3.2 Due to the nature of technical equipment, meeting venue acoustics, and electricity supply it can't be guaranteed that an audio recording is available, fault free or continuous. Stellenbosch University also do not accept responsibility for identifying speakers on audio recordings.

10. Access and Security

SU's information is an asset of significant value. Disciplined management of information enhances that value, supports decision making and operational success and is integral to the way SU do business.

To protect records and information from inappropriate access and use, line managers need to give appropriate authorization to employees, by completing the [SUN-Records Access Authorization Form](#) online or in hard copy (see also Annexure A). The Records Manager will then grant the required access rights on the SUN-Records Records Repository as requested.

Access to records can be restricted by classifying them into one of four categories:

- **Public** - Shared freely with the widest possible audience. Made available on the internet, with no network login required. Information that may be freely disclosed to the public is included in this category, e.g., published research, contact information, marketing materials etc.
- **Internal** - Intended only for staff and students. Made available on the intranet, with network login required. This category is intended for internal data not meant for public disclosure, e.g., organisational charts, business records, emails etc.
- **Confidential** - Intended for use by a limited group of University users. Sensitive data that, if compromised, could negatively affect operations, e.g., contracts with vendors, employee reviews etc.
- **Restricted** - For use by a strictly defined group of university users. Highly sensitive institutional and customer data that, if compromised, could put the organization at financial, legal or reputational risk, e.g., credit card information, employee and student records, medical records, financial account details, system usernames and passwords, etc.

10.1 Access to Council and Senate Minutes

Council's and Senate's draft minutes are regarded as confidential until they are approved at the next meeting. Only then can they be regarded as official. They are then in the public domain, but access must still be requested from the Registrar and is limited to the requested information only.

11. Using the Schedule

The schedule, divided into 14 categories, represents the major functions that generate records within SU. While some categories align directly with divisional responsibilities, e.g., Legal Management and Human Resources Management, other categories are common to different areas within SU, e.g., Secretarial. This functional approach allows for flexibility and consistent treatment of records.

1. Facilities, Buildings, Grounds and Commercial Management	Records relating to the facilities, buildings, grounds as well as the management of commercial entities of SU are filed here, <i>e.g., parking applications, Maties Bikes, work orders etc.</i>
2. Finance Management	Records relating to SU's Debtors, Creditors and financial reports are filed here, <i>e.g., invoices, credit notes, debtors, financial statements, asset management, insurance management etc.</i>
3. Human Resources Management	Records relating to the administration of human resource related matters are filed here. <i>e.g., contract of employment, appointments, benefits and terminations etc</i>
4. Technology and Information Management	Records regarding the management of the Archives, library services and IT systems development and services are filed here, <i>e.g., records management, archives management, IT maintenance (patches, upgrades etc.), IT service reports etc.</i>
5. Institutional Communication and Client Education	Brand management, communications with clients as well as records relating to events management and publications are filed here, <i>e.g., brand management, press conferences, media briefings, publications (annual report, yearbooks, etc.)</i>
6. Institutional Design and Management	Records regarding the organisational structure, evaluations, delegations of powers and strategic projects are filed in this category, <i>e.g., organisational structure, delegations of authority, strategic planning etc.</i>
7. Legal Management	Contracts, agreements, legal advice, and disciplinary records are filed here, <i>e.g., legal agreements, disciplinary disputes, legal requests</i>
8. Procurement Management	Records with regards to procurement, tenders and vendor management are filed here, <i>e.g., vendor management, tender management, procurement</i>

9. Safety, Health and Environment Management	Records relating to the management of safety, occupational health, environmental and quality management at SU is filed here, <i>e.g., safety management, occupational health and environmental management</i>
10. Secretarial	Records created by the various committees of the University, official letters, memorandums and notices as well as the calendars of the University are filed here, <i>e.g., minutes of meetings, official memo's and letters, travel and accommodation arrangements</i>
11. Statutory, Governance and Compliance	Records relating to statutory, governance and compliance requirements are filed here. This will include amongst others the SU Statute, founding documents of CIS, declarations of interest etc, <i>e.g., Trusts, partnerships and companies, Terms of reference, audit planning, review and correspondence, risk management etc.</i>
12. Student Administration Management	Records relating to student applications, admissions, residence placements as well as bursaries and loans are filed here, <i>e.g., student applications and admissions, residence applications, placements and reservations, and financial aid management</i>
13. Academic Administration Management	Records relating to the management of the curriculum, assessments, examinations, the timetable and graduation administration are filed here, <i>e.g., curriculum management, assessment management, examination management, graduation administration</i>
14. Research Development Management	Records regarding research funding, reporting and ethical clearance for research, as well as the administration of research contracts are filed here, <i>e.g., research funding applications, research reporting, research contracts, ethical clearance et.</i>
15. Controlled records	Records that have gone through a formal approval process, <i>e.g., policies, procedures, constitutions, organograms, templates, forms etc.</i>

11.1 Retention Schedule Contents

The retention schedule provides information on:

Record Types	An indication of the types of records typically created within a specific category or sub-category is given, e.g., invoices, agreements, class lists, correspondence, minutes of meetings. Different retention periods might be applicable to different record types.	
Recommended Retention Period	An indication of the period a record should be retained due to legal and/or institutional requirements is given below. Three retention categories are used	
	Retain for [number of] years after last modification	Retain for up to 3 years, then recommended Disposal Action should be implemented. A specific period, within this category, must be indicated.
	Retain for [number of] years after last modification	Retain for or 4+ years, then recommended Disposal Action should be implemented. A specific period, within this category, must be indicated
	Retain Permanent	The SU Archives retain a select set of records permanently based on their unique historical, research or institutional value. There might be an assumption that the transfer of a record to the SU Archives should take place on creation, but an indication will be given when deferred transfer is appropriate. When records are eligible for transfer to the Archives, but are still in active use, permission to defer transmission for a period of up to 5 years should be obtained from the Records Manager
Office Responsible for Original	An indication of who/which entity is responsible for ensuring that a specific record (master record) is retained according to the information provided in this schedule.	
Other Offices' Disposal of Duplicates	An indication of what any other office's responsibility is, should they have copies of a specific record.	

Access Classification	To protect records and information from inappropriate access and usage, access to records can be restricted by classifying them into one of four categories	
	Public	Shared freely with the widest possible audience. Made available on the internet, with no network login required. Information that may be freely disclosed to the public is included in this category, e.g., published research, contact information, marketing materials etc.
	Internal	Intended only for staff and students. Made available on the intranet, with network login required. This category is intended for internal data not meant for public disclosure, e.g., organisational charts, business records, emails etc.
	Confidential	Intended for use by a limited group of University users. Sensitive data that, if compromised, could negatively affect operations, e.g. contracts with vendors, employee reviews etc.
	Restricted	For use by a strictly defined group of university users. Highly sensitive institutional and customer data that, if compromised, could put the organization at financial, legal or reputational risk, e.g., credit card information, employee and student records, medical records, financial account details, system usernames and passwords, etc.
Recommended Disposal Action	An indication of the ultimate disposal of a record. This is indicated with an “A” for Archives and “D” for Destruction or Destroy	
	Archive	An indication of whether a record should be transferred to the SU Archives for preservation in perpetuity. There is an assumption that the transfer of a copy should take place on creation, but an indication will be given when deferred transfer is appropriate
	Destruction / Destroy	Destruction is the act of disposing of records permanently by erasing the information in them. It should not be possible to physically or electronically reconstruct or recover the information. Destruction decisions must be formally approved by the Records Manager, before any action is taken. Methods of destruction can include shredding, pulping, overwriting, purging or degaussing ²

² To erase information from a magnetic disk, tape, or other magnetic storage device. <https://www.dictionary.com/browse/degauss>

12. Disposition and Destruction of Records

It is essential to destroy records to maintain an effective records management program. However, records **should not be destroyed without consulting this schedule or obtaining authorization from the records manager**.

All the retention periods in this schedule are the **minimum period** that a record should be retained. Subject to the requirements listed below, it may be required that certain records be retained longer.

Requirements for retention longer than the minimum period indicated:

- Subject to any civil or criminal court action, which involves or may involve the University, and any entity affiliated to the University,
- If a record is part of litigation, whether the University is party to that litigation or not, or
- For university purposes.

Disposition vs Destruction:

Disposition and destruction are not the same action, but both are essential components of the records management program.

Disposition is a range of actions performed in the management of records. This includes retention, destruction **or** transferring the records to the SU Archives for permanent preservation.

Destruction is the act of disposing of records **permanently** by erasing the information in them. It should not be possible to physically or electronically reconstruct or recover the information. Methods of destruction can include shredding, pulping, overwriting, purging or degaussing.

No disposition of records may take place without the necessary disposal authority (see Annexure B). Disposal Authority means a written authority issued by the SU Archivist and Records Manager. It specifies which records should be transferred into archival custody or which records should be disposed of. These disposal authorities must be retained on SUN-Records.

The **Recommended Retention Period** and **Recommended Disposal Action** columns in the retention schedule indicate which disposition action should be taken.



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RECORDS RETENTION SCHEDULE



1.FACILITIES, BUILDING, GROUNDS AND COMMERCIAL MANAGEMENT									
		Recommended Retention	Office Responsible for Original	Other Offices' Disposal of Duplicates	Access Classification	Recommended Disposal Action	Contains Personal Information		
/1/1 CONTRACT MAINTENANCE: The maintenance of equipment/apparatus performed under contract by commercial organizations (including prime contractors) on a one-time or continuing basis.		Retain for 5 years after last modification	Facilities Management	No copies to be kept by other offices	Confidential	D	Y		
/1/2 EQUIPMENT MAINTENANCE									
	/1/2/1 JOB ORDERS / SERVICE REQUESTS		Retain for 5 years after last modification	Facilities Management	Destroy 1 year after transaction	Confidential	D	N	
	/1/2/2 PLANNING				Destroy 1 year after transaction	Confidential	D	N	
	/1/2/3 CHECKLISTS				No copies to be kept by other offices	Confidential	D	N	
	/1/2/4 INVENTORY (STOCK) MANAGEMENT				No copies to be kept by other offices	Confidential	D	N	
	/1/2/5 REPORTING				No copies to be kept by other offices	Confidential	D	N	
		/1/2/5/1 Utilization Reports							
		/1/2/5/2 Productivity Reports							
		/1/2/5/3 Time Allocation							
		/1/2/5/3/1 Time cards							
/1/3 FACILITIES MAINTENANCE									
	/1/3/1 SERVICE REQUEST		Retain Permanent	Facilities Management	No copies to be kept by other offices	Confidential	A	N	
		/1/3/1/1 SECURITY							
		/1/3/1/2 BUILDING							
		/1/3/1/3 CLEANING & HYGIENE							
		/1/3/1/4 PARKING							
		/1/3/1/5 GROUNDS							
	/1/3/2 PROPERTY DAMAGE			No copies to be kept by other offices	Confidential	A	N		
	/1/3/3 PLANNED MAINTENANCE			Retain for 1 year after completion of maintenance	Confidential	A	N		
/1/4 DELIVERY AND REMOVAL SERVICES									
		Retain for 2 years after last modification	Facilities Management	No copies to be kept by other offices	Confidential	D	N		
/1/5 RESIDENCE SERVICES									
	/1/5/1 CLEANING SERVICES		Retain for 2 years after last modification	Commercial Services / SunCom & Facilities Management	No copies to be kept by other offices	Confidential	D	N	
	/1/5/2 FOOD PROVISION SERVICES								
	/1/5/3 SECURITY SERVICES								

/1/6 OTHER ACCOMMODATION SERVICES									
	/1/6/1 CLEANING SERVICES		Retain for 1 year after last modification	Commercial Services / SunCom & Facilities Management	No copies to be kept by other offices	Confidential	D	N	
	/1/6/2 FOOD SERVICES								
	/1/6/3 BEDDING								
	/1/6/4 SECURITY SERVICES								
	/1/6/5 GARDEN SERVICES								
/1/7 COMMERCIAL MANAGEMENT									
	/1/7/1 PARKING SERVICES		Retain for 1 year after last modification	Commercial Services / SunCom & Facilities Management	No copies to be kept by other offices	Confidential	D	Y	
		/1/7/1/1 GUEST ACCOMMODATION							
		/1/7/1/2 STUDENT CENTRE							
		/1/7/1/3 STUDENT ACCOMMODATION							
	/1/7/2 CLEANING SERVICES		Retain for 1 year after last modification	Commercial Services / SunCom & Facilities Management	No copies to be kept by other offices	Confidential	D	N	
		/1/7/2/1 GUEST ACCOMMODATION							
		/1/7/2/2 STUDENT CENTRE							
		/1/7/2/3 STUDENT RESIDENCE							
	/1/7/3 FOOD SERVICES		Retain for 3 years after last modification	Commercial Services / SunCom & Facilities Management	No copies to be kept by other offices	Confidential	D	N	
		/1/7/3/1 STUDENT CENTRE							
		/1/7/3/2 CAMPUS							
		/1/7/3/3 STUDENT RESIDENCE							
	/1/7/4 SECURITY SERVICES		Retain for 3 years after last modification	Commercial Services / SunCom & Facilities Management	No copies to be kept by other offices	Confidential	D	N	
		/1/7/4/1 GUEST ACCOMMODATION							
		/1/7/4/2 STUDENT RESIDENCES							
		/1/7/4/3 STUDENT CENTRE							
		/1/7/4/4 BOTANICAL GARDEN							
		/1/7/4/5 OTHER BUSINESSES							
	/1/7/5 GARDEN SERVICES		Retain for 3 years after last modification	Facilities Management	No copies to be kept by other offices	Confidential	D	N	
		/1/7/5/1 GUEST ACCOMMODATION							
		/1/7/5/2 STUDENT RESIDENCES							
		/1/7/5/3 STUDENT CENTRE							
	/1/7/6 OPERATIONAL UNITS		Retain Permanent	Commercial Services / SunCom & Facilities Management	No copies to be kept by other offices	Confidential	A	Y	
		/1/7/6/1 MATIES MILK							
		REPORTS							
	/1/7/6/2 MATIES COPY AND PRINT								
	/1/7/6/4 MATIES LETTING								
		RESIDENTIAL							
		RETAIL							
	/1/7/6/5 BOTANICAL GARDENS								

/1/8 TRANSPORT SERVICES								
		APPLICATIONS	Retain for 5 years after last modification	Transport Services	No copies to be kept by other offices	Confidential	D	Y
		QUOTATIONS						
		RESERVATIONS						
		TARIFFS						
		CLAIMS						
		MAINTENANCE						
		REPORTING	Retain Permanent after latest version has been superseded	Transport Services	No copies to be kept by other offices	Confidential	A	Y

2. FINANCE MANAGEMENT

NOTE:

Staff members in departments, schools or faculties dealing with finances are only required to keep copies of financial transactions until the year-end statements have been finalised, after which all copies can be destroyed seeing that financial transactions are captured on the finance system and original documentation are then administered and kept by the financial departments.

Financial records on Adabas Natural (swartskerm) and SUNFIN

The indicated retention periods apply to hard copy as well as to electronic financial records in the Adabas system and SUNFIN. Since Adabas is being phased out during 2021, all financial records from January 2015 up until the transfer to SUNFIN is complete, should be retained on the Adabas Natural system for five years after the last modification on any transaction or entry. Current Adabas users will retain only view rights, since no additions or changes to this system will be allowed once the changeover to SUNFin has taken place.

once the changeover to SOWI it has taken place.

		Record Types	Recommended Retention	Office Responsible for Original	Other Offices' Disposal of Duplicates	Access Classification	Recommended Disposal Action	Contains Personal Information	
/2/1 DEBTOR MANAGEMENT									
/2/1/1 APPLICATIONS									
	/2/1/1/1 INTERNAL DEBTORS APPLICATIONS		Applications Proof of Loan Applications	Retain Permanent	Finance Division	No copies to be kept by other offices.	Confidential	A	Y
	/2/1/1/1 EXTERNAL DEBTORS APPLICATIONS								
/2/1/2 BILLING									
	/2/1/2/1 STUDENT DEBTORS		Acknowledgments of debt Banking and contact details Debt Collection Debtor's Codes Demand letters for late payments Deviation Registers Irrecoverable Debts	Retain for 5 years after termination of studies due to graduation or any other instance OR after last modification	Finance Division	No copies to be kept by other offices.	Confidential	D	Y
	/2/1/2/1/1 STUDENT FEE CALCULATIONS								
	/2/1/2/1/2 SETTLEMENT ESTIMATES								
	/2/1/2/1/3 BANK PAYMENT ORDERS								
	/2/1/2/1/4 INVOICES								
	/2/1/2/1/5 PROOF OF PAYMENT								
	/2/1/2/1/6 REFUNDS								
	/2/1/2/1/7 CREDIT NOTES								
	/2/1/2/2 GENERAL DEBTORS		Retain for 5 years after completion of Audit	Finance Division	No copies to be kept by other offices.	Confidential	D	Y	
	/2/1/2/3 EXTERNAL BURSARIES								
/2/1/3 STATEMENTS									
			Statements	E-copy: Retain Permanent Hard copy: Retain for 5 years after last modification	Finance Division	No copies to be kept by other offices.	Confidential	A	N
/2/1/4 COLLECTIONS									
	/2/1/4/1 OUTSTANDING DEBT		Statements Subpoenas: outstanding debt Requests for cancellation of debt	Retain for 5 years after completion of Audit	Finance Division	No copies to be kept by other offices.	Confidential	A	Y
	/2/1/4/2 ARRANGEMENTS								
	/2/1/4/2/1 STANDARD ARRANGEMENTS								
	/2/1/4/2/2 EXTENSIONS								
	/2/1/4/2/3 FINAL NOTICE								
	/2/1/4/2/4 HANDED OVER								
	/2/1/4/3 WRITE OFFS								
/2/1/5 RECONCILIATIONS									
	/2/1/5/1 INTERNAL			Retain for 5 years after completion of Audit	Finance Division	No copies to be kept by other offices.	Confidential	D	N
	/2/1/5/2 EXTERNAL								
/2/1/6 ENQUIRIES AND CORRESPONDENCE				Retain for 5 years after completion of Audit	Finance Division	No copies to be kept by other offices.	Confidential	D	N
/2/1/7 REGISTERS									
	/2/1/7/1 INPUT REGISTER			E-copy: Retain Permanent Hard copy: Retain for 5 years after last modification	Finance Division	No copies to be kept by other offices.	Confidential	A	N
/2/1/8 STATISTICS				E-copy: Retain Permanent Hard copy: Retain for 5 years after last modification	Finance Division	No copies to be kept by other offices.	Confidential	A	N
/2/1/9 DEBTORS CODES & DISTRIBUTION				Retain Permanent	Finance Division	No copies to be kept by other offices.	Confidential	A	Y

/2/2 CREDITORS MANAGEMENT													
	/2/2/1 APPLICATIONS				Retain for 5 years after completion of Audit	Finance Division	No copies to be kept by other offices.	Confidential	D	Y			
	/2/2/2 PAYMENT ADMINISTRATION												
		/2/2/2/1 FOREIGN PAYMENTS			Retain for 10 years after completion of Audit (Due to requests from international funders and requests for audits of e.g. research projects received 5 years and more after completion, the retention period for these records are extended to 10 years)	Finance Division	No copies to be kept by other offices.	Confidential	D	N			
		/2/2/2/1/1 REQUISITIONS											
		/2/2/2/1/2 INVOICES											
		/2/2/2/1/3 PROOF OF PAYMENT											
		/2/2/2/1/4 CORRESPONDENCE											
		/2/2/2/1/5 STATEMENTS											
		/2/2/2/1/6 RECONCILIATIONS											
		/2/2/2/2 SUNDRY PAYMENTS							D	N			
											/2/2/2/2/1 REQUISITIONS		
											/2/2/2/2/2 INVOICES		
											/2/2/2/2/3 PROOF OF PAYMENT		
											/2/2/2/2/4 CORRESPONDENCE		
											/2/2/2/2/5 CREDITORS STATEMENTS		
											/2/2/2/2/6 CREDITORS RECONCILIATIONS		
		/2/2/2/3 CREDITORS PAYMENTS							D	N			
											/2/2/2/3/1 REQUISITIONS		
											/2/2/2/3/2 INVOICES		
											/2/2/2/3/3 PROOF OF PAYMENT		
	/2/2/2/3/4 CORRESPONDENCE												
	/2/2/2/3/5 CREDITORS STATEMENTS												
/2/2/2/3/6 CREDITORS RECONCILIATIONS													
/2/3 REPORTING													
	/2/3/1 INTERNAL MANAGEMENT REPORTING				E-copy: Retain Permanent Hard copy: Retain for 5 years after last modification	Finance Division	No copies to be kept by other offices.	Confidential	A	N			
	/2/3/2 STATUTORY REPORTING												
	/2/3/3 FORECASTING AND PLANNING												
	/2/3/4 BUDGET REPORTING												
	/2/3/5 FINANCIAL ANALYSIS												
	/2/3/5/1 DEBTOR AGE ANALYSIS												
	/2/3/5/2 CREDITOR AGE ANALYSIS												
	/2/3/6 FUNDER REPORTING												
	/2/3/7 EXTERNAL REPORTING												
/2/3/8 AMMENDMENT REPORTING													
/2/4 TAXATION AND LEVIES													
	/2/4/1 VAT RETURNS				Retain for 5 years after completion of Audit	Finance Division	No copies to be kept by other offices.	Confidential	A	N			
		/2/4/1/1 STANDARD											
		/2/4/1/2 IMPORT											
	/2/4/2 INCOME TAX												
	/2/4/3 WITHHOLDING TAX												
	/2/4/4 PAYE FINAL ACCOUNTS												
	/2/4/5 LEVIES												
		/2/4/5/1 EXCISE											
		/2/4/5/2 CUSTOMS											
/2/5 FACILITIES REVIEWS													
	/2/5/1 BANKING FACILITY				Retain for 5 years after completion of Audit	Finance Division	No copies to be kept by other offices.	Confidential	A	N			
	/2/5/2 GUARANTEE FACILITY												
	/2/5/3 INSURANCE FACILITY												
	/2/5/5 INTERNAL												
	/2/5/4 CORRESPONDENCE												
/2/6 BANK AND CASH MANAGEMENT													
	/2/6/1 BANKING INSTITUTIONS				Retain for 5 years after completion of Audit	Finance Division	No copies to be kept by other offices.	Confidential	D	N			
		/2/6/1/1 BANK STATEMENTS											
		/2/6/1/2 RECONCILIATIONS											
		/2/6/1/3 CORRESPONDENCE											

/2/7 ASSET MANAGEMENT								
	/2/7/1 ASSET REGISTER		Retain Permanent	Finance Division	No copies to be kept by other offices.	Confidential	A	N
		/2/7/1/1 CONSOLIDATED ASSETS						
		/2/7/1/1/1 RECONCILIATIONS						
		/2/7/1/2 DEPARTMENTAL ASSETS						
	/2/7/2 ASSET DISPOSAL		Retain for 3 years after last action	Finance Division	No copies to be kept by other offices.	Confidential		
/2/7/3 CORRESPONDENCE								
/2/8 INSURANCE MANAGEMENT								
	/2/8/1 SHORT TERM POLICIES		Retain permanent	Finance Division	No copies to be kept by other offices	Confidential	A	Y
	/2/8/2 LONG TERM INSURANCE POLICIES							
	/2/8/3 CORRESPONDENCE							
/2/9 FUND AND INVESTMENT MANAGEMENT								
	/2/9/1 INSTRUCTIONS AND APPROVALS		Retain Permanent	Finance Division	No copies to be kept by other offices	Confidential	A	N
		/2/9/1/1 RESERVE MANAGEMENT						
		/2/9/1/1/1 LOANS						
		INTERNAL						
		EXTERNAL						
	/2/9/2 RECONCILIATIONS							
	/2/9/3 CORRESPONDENCE							
/2/10 JOURNALS								
	/2/10/1 BUDGET JOURNALS		Retain for 10 years after completion of Audit	Finance Division	No copies to be kept by other offices	Confidential	D	N
	/2/10/2 BANKING JOURNALS							
	/2/10/3 INVESTMENT							
	/2/10/4 PAYROLL							
	/2/10/5 ASSET JOURNALS							
	/2/10/6 DONATION							
	/2/10/7 TRANSFER JOURNALS							
	/2/10/8 FINANCE JOURNALS							
/2/11 BUDGETING								
	/2/11/1 FULL COST BUDGETS		Retain Permanent	Finance Division	No copies to be kept by other offices	Confidential	A	N
	/2/11/2 SHORT COURSE BUDGETS							
	/2/11/3 CONTRACT RESEARCH BUDGETS							
	/2/11/4 INSTITUTIONAL BUDGETS							
	/2/11/5 <ANRI SE FOLDERS>							
/2/12 KNOWLEDGE LIBRARY								
			Destroy as needed	Finance Division	No copies to be kept by other offices	Public	D	N

3. HUMAN RESOURCES MANAGEMENT			Record Types	Retention	Office Responsible for Original / Responsibility	Other Offices' Disposal of Duplicates	Record Classification	Recommended Disposal Action	Contains Personal Information		
/3/1 HR ADMINISTRATION & REWARDS											
	/3/1/1 CONTRACT OF EMPLOYMENT		Staff Files: Employee personnel files should contain only that information which is directly related to the employee's job duties, salary, performance and general employment history. Medical files, where applicable, must be maintained separately from other files. Listed are many types of documents which, if they exist, are appropriate for retention in employee personnel files. Record Types: Agreements, eg. Settlements, lawsuits; Appointment records; Attendance and Absence Records - if not on Leave database; Auxiliary medical records; Banking details; Disciplinary records; Grievances and related documents; Identification Document; Job applications; Job descriptions; Layoff notices; Leave of Absence Correspondence; Offer and/or confirmation of employment letters; Payroll information; Performance evaluations; Sick Leave records; Termination records; Time Sheets	Retain Permanent: If person retires at SU	Human Resources Division	The original staff file is kept by the Human Resources department. Should a duplicate staff file be kept in the faculty/school/department for operational reasons, this file must be transferred to the Human Resources Department when the staff member terminates service.	Confidential	A	Y		
	/3/1/2 EMPLOYEE BENEFITS										
	/3/1/3/1 RETIREMENT BENEFITS									Retain for 3 years after last modification: if a person resigns or is retrenched or leaves the SU for any other reason than retirement	A staff file includes the application for employment, and records which are used or have been used to determine an employee's qualifications for promotion, compensation, termination, or disciplinary action.
	/3/1/3/1/1 MEMBER INFORMATION										
	CANCELLATION										
	BENEFIT STATEMENTS										
	PROOF OF PAYMNT										
	BENEFICIARY NOMINATION										
	/3/1/3/2 LIFE AND DISABILITY INSURANCE BENEFITS										
	/3/1/3/2/1 MEMBER INFORMATION										
	/3/1/3/3 MEDICAL AID BENEFITS										
	/3/1/3/3/1 MEMBER INFORMATION										
	/3/1/3/4 FUNERAL COVER										
	/3/1/3/4/1 MEMBER INFORMATION										
	/3/1/3/5 LOANS										
	/3/1/3/6 VEHICLE ALLOWANCE										
	/3/1/3/5 HOUSING ALLOWANCE										
	/3/1/3 EMPLOYEE TERMINATIONS										
	EXIT INTERVIEWS										
	/3/1/4 PAYROLL										
	/3/1/5 PERFORMANCE MANAGEMENT										
	/3/1/6 REWARDS AND RECOGNITION										
	/3/1/7 REPORTS										
	/3/1/8 LABOUR HISTOGRAMS										
	/3/1/9 SYSTEM ADMINISTRATION										
	/3/1/10 LEAVE MANAGEMENT										
	3/1/10/1 APPLICATION FOR LEAVE										
	3/1/10/2 LEAVE SCHEDULES										
	3/1/10/3 ABSENTEEISM STATISTICS										
/3/2 EMPLOYEE RELATIONS											
	/3/2/1 BREACHES AND GRIEVANCES		Retain Permanent	Human Resources Division	No copies to be kept by other offices	Confidential	A	Y			
	/3/2/2 DISABILITY MANAGEMENT										
	/3/2/3 REPORTS										
	/3/2/4 TERMINATIONS										
	/3/2/5 TRADE UNION MANAGEMENT										
	/3/2/6 PROCESSES										

/3/3 HR DEVELOPMENT								
	/3/3/1 TALENT MANAGEMENT		Retain for 15 years after termination of service	Human Resources Division	No copies to be kept by other offices	Restricted	D	Y
	3/3/1/1 SUCCESSION PLANNING							
	/3/3/2 TRAINING AND DEVELOPMENT		Retain for 15 years after termination of service	Human Resources Division	No copies to be kept by other offices	Restricted	D	Y
	/3/3/2/1 INDUCTION							
	/3/3/2/2 TRAINING NEEDS ANALYSIS							
	/3/3/2/3 TRAINING PROGRAMMES							
	/3/3/2/4 TRAINING BROCHURES							
	/3/3/2/5 TRAINING SCHEDULES							
	/3/3/3 STUDY ASSISTANCE		Retain permanent	Human Resources Division	No copies to be kept by other offices	Restricted	A	Y
	/3/3/4 DEVELOPMENT PROGRAM							
	/3/3/5 RESEARCH		Retain as needed	Human Resources Division	No copies to be kept by other offices	Restricted	D	Y
	/3/3/5/1 ARTICLES							
	/3/3/5/1 E-BOOKS							
	/3/3/6 EXTERNAL HR RELATIONS		Retain for 1 year after last modification	Human Resources Division	No copies to be kept by other offices	Restricted	D	Y
	/3/3/6/1 CAREER FAIRS							
	/3/3/7 RECRUITMENT		Retain Permanent	Human Resources Division	No copies to be kept by other offices	Restricted	A	Y
	/3/3/7/1 SOURCING PLAN							
	/3/3/7/2 ADVERTISING AND SOURCING		Retain for 3 years after last modification	Human Resources Division	No copies to be kept by other offices	Restricted	D	Y
	/3/3/7/2/1 INTERNAL VACANCIES							
	/3/3/7/2/2 EXTERNAL VACANCIES							
	/3/3/7/3 INTERVIEW GUIDES							
	/3/3/7/4 LETTER OF REGRET							
	/3/3/7/5 LETTER OF APPOINTMENT							
	/3/3/7/6 OCCUPATIONAL ASSESSMENT		Retain Permanent	Human Resources Division	No copies to be kept by other offices	Restricted	A	Y
	/3/3/7/7 REPORTS							

4. TECHNOLOGY AND INFORMATION MANAGEMENT

		Recommended Retention	Office Responsible for Original	Other Offices' Disposal of Duplicates	Record Classification	Recommended Disposal Action	Contains Personal Information	Source / Notes
/4/1 RECORDS MANAGEMENT								
	/4/1/1 FILE PLAN	Retain Permanent when superceded	SU Archives	No copies to be kept by other offices	Internal	A	N	
	/4/1/2 MASTER RECORDS INDEX							
	/4/1/3 RETENTION SCHEDULE							
	/4/1/4 KNOWLEDGE LIBRARY	D when superceded	SU Archives	No copies to be kept by other offices	Internal	D	N	
/4/2 SYSTEM MANAGEMENT -								
	see: ICT Retention							
/4/3 SECURITY MANAGEMENT								
	see: ICT Retention							
/4/4 ARCHIVES MANAGEMENT								
	/4/4/1 KNOWLEDGE BANK	Destroy when superceded	SU Archives	No copies to be kept by other offices	Internal	D	N	
	/4/4/2 RESEARCH	Destroy 5 years after last action						
/4/5 SERVICES MANAGEMENT								
	/4/5/1 COST CENTRE ACCESS APPLICATIONS	Retain Permanent on System	Manager in specific division / process owner	No copies to be kept by other offices	Confidential	A	N	Applications : SIS and ETSIS user Application forms Details of users with more than 1 User-ID List of people responsible for amending cost centres Log-ins for Residence Unions Services information Swop Access Documents Tera Term information User registration and access to financial programmes
	/4/5/2 ACCESS MANAGEMENT							
	/4/5/3 AD HOC SERVICES REQUEST							
	/4/5/4 PROCESSES and PROCEDURES DEVELOPMENT							
	/4/5/5 CHANGE REQUESTS							
/4/6 REPORTS								
	see: ICT Retention							
/4/7 SYSTEM DEVELOPMENT								
	see: ICT Retention							
/4/8 INTERNAL INITIATIVES								
	see: ICT Retention							

ICT RETENTION

INFORMATION TECHNOLOGY: The function of developing or acquiring, implementing and managing all types of technical and associated resources to capture store, retrieve, transfer, communicate or disseminate information through the use of electronic information systems.

The recommended retention periods are applicable to all ICT Systems and Applications, whether they are listed in the ICT Systems and Applications spreadsheet, or not.

Backups	Backups, in the form of backup tapes, disks, drives, servers or other forms of electronic/digital data backup, is kept by SU’s Information and Communication Technology Services solely for disaster recovery and / or business continuity. It is not intended to serve as the master copy of vital records or as a records retention tool. In the case of disaster, the backup would be used to recover system operability and/or restore lost records. Any other records, as indicated in the SU Records Retention Schedule, should NOT be disposed of on the basis of the existence of a backup. A backup containing master copies or the only existing copies of items that have not passed their retention would have to be retained for the length of the longest unmet retention period. Preferably, the records should be restored to the University’s systems from the backup to ensure that the backup is not used as a records retention tool.							
Email	There is no retention schedule for emails, since emails only act as the carrier of the informational content and it is not intended to serve as the record copy or as a records retention tool. Retention is based on the informational content of the email, attachments to the email or any other carrier of information, and retention periods and responsibilities should be determined and applied according to informational content, e.g. correspondence about a Research Agreement should be retained as indicated under 7. Legal Management – Agreements.							
		Recommended Retention	Office Responsible for Original	Other Offices' Disposal of Duplicates	Record Classification	Recommended Disposal Action	Contains Personal Information	Source / Notes
Customer Services								
	User requests for technical and application assistance and support	D1 - after last action on request	Information Communication and Technology	No copies to be kept by other offices	Confidential	Destroy	Yes	
ICT Systems Installations and Development								
	Initial development of ICT systems - NOT implemented	D5 - after last action on development	Information Communication and Technology	No copies to be kept by other offices	Confidential	Destroy	No	
	Management of ICT Systems development projects	D5 - after termination of project			Confidential	Destroy		
ICT Systems Development and Maintenance								
	System development: Includes initial development requirements, post implementation modification and maintenance, component maintenance records, computer equipment inventories, failure logs, hardware performance reports, maintenance contracts, warranties, etc.	D5 - after the end of the fiscal year in which the project is closed out	Information Communication and Technology	No copies to be kept by other offices	Confidential	Destroy	No	
	Licenses	D5 - after last action			Confidential	Destroy		
	Manuals	Retain permanent when superceded			Confidential	Archive		
	Correspondence	D5 - after last action			Confidential	Destroy		
	Maintenance: includes patches, upgrades and troubleshooting	D3 - when superceded			Confidential	Destroy		
	Technical References: includes network topology, business systems and infrastructure	D5 - after date of expiration			Confidential	Destroy		
ICT Systems Operation Management								
	Routine monitoring and testing of operation of ICT system, and actions to rectify and optimise performance of system	D1 - after last action	Information Communication and Technology	No copies to be kept by other offices	Confidential	Destroy	No	
	Fault reporting by users of ICT systems, and rectify and optimise performance of system	D1 - after last action on fault			Confidential	Destroy		

Data management								
	Management of system data storage, including routine data backup, archiving and deletion routines	D1 - after last action	Information Communication and Technology	No copies to be kept by other offices	Confidential	Destroy	No	
	User requests for recovery of data from backups, archives stores and action taken	D1 - after last action on request			Confidential	Destroy	Yes	
ICT Systems Security Management								
	Security arrangements for ICT systems	D5 - after decommissioning of system	Information Communication and Technology	No copies to be kept by other offices	Restricted	Destroy	No	
	Access matrix:	Retain permanent when superceded			Restricted	Archive	Yes	
	Opening, maintenance and closure of user accounts	D1 - after closure of account			Restricted	Destroy	Yes	
	Routine monitoring to ensure compliance with legal requirements and institutional policies	D1 - after last action			Confidential	Destroy	No	
	Security Breaches: attempted and actual	D1 - after last action on incident			Restricted	Destroy	Yes	
	Requests and authorisations for connections of third party equipment to SU's network:	D1 - after termination of connection			Restricted	Destroy	No	
	Removal and/or return of mobile ICT systems hard- and software from or to University's premises	D1 - after return of equipment			Confidential	Destroy	No	
	Arrangements for the sanitisation of institutional ICT equipment prior to disposal	D1 - after disposal of equipment			Confidential	Destroy	Yes	
ICT Systems Training								
	Development of technical & application training for ICT system users	D1 - when superceded	Information Communication and Technology	No copies to be kept by other offices	Confidential	Destroy	No	
Reports								
	ICT Services Reports	Retain permanent	Information Communication and Technology	No copies to be kept by other offices	Confidential	Archive	No	
	Usage Reports				Confidential	Archive		
	Activities and Tasks				Confidential	Archive		

5. INSTITUTIONAL COMMUNICATION AND CLIENT EDUCATION																
										Recommended Retention	Office Responsible for Original	Other Offices' Disposal of Duplicates	Access Classification	Recommended Disposal Action	Contains Personal Information	
/5/1 BRAND MANAGEMENT																
	/5/1/1 CORPORATE IDENTITY															
		/5/1/1/1 SPECIFICATIONS								Retain Permanent	Manager in specific division / process owner	No copies to be kept by other offices	Internal	A	N	
		/5/1/1/2 DESIGN TEMPLATES														
		/5/1/1/3 EXTERNAL CORRESPONDENCE														
	/5/1/2 BRAND DEVELOPMENT															
		/5/1/2/1 HISTORICAL								Retain Permanent	Manager in specific division / process owner	No copies to be kept by other offices	Internal	A	N	
		/5/1/3/1 FEEDBACK FORMS								Retain for 5 years after last modification	Manager in specific division / process owner	No copies to be kept by other offices	Confidential	D	N	
		/5/1/3/2 FEEDBACK RESULTS														
		/5/1/3/3 REPORT								Retain Permanent	Manager in specific division / process owner	No copies to be kept by other offices	Confidential	A	N	
/5/2 COMMUNICATIONS																
	/5/2/1 FRAMEWORK									Retain Permanent	Manager in specific division / process owner	No copies to be kept by other offices	Confidential	A	N	
	/5/2/2 INTERNAL															
		/5/2/2/1 DESIGN								Retain Permanent	Manager in specific division / process owner	No copies to be kept by other offices	Confidential	A	N	
		/5/2/2/2 NEWSLETTER														
		/5/2/2/3 INTERNAL MEMORANDUMS														
	/5/2/3 EXTERNAL															
		/5/2/3/1 PRESS RELEASES								Retain Permanent	Manager in specific division / process owner	No copies to be kept by other offices	Public	A	N	
			OWN													
			OTHER													
			SCHEDULES													
		CORRESPONDENCE								Retain for 1 year after last modification	Manager in specific division / process owner	No copies to be kept by other offices	Confidential	D	N	
										Retain for 1 year after last modification	Manager in specific division / process owner	No copies to be kept by other offices	Confidential	D	N	
										Retain for 1 year after last modification	Manager in specific division / process owner	No copies to be kept by other offices	Confidential	D	N	
	/5/2/3/2 PRESS CONFERENCES									Retain for 1 year after last modification	Manager in specific division / process owner	No copies to be kept by other offices	Confidential	D	Y	
		INVITATIONS														
		ATTENDANCE REGISTER														
	/5/2/3/3 MEDIA										Retain Permanent	Manager in specific division / process owner	No copies to be kept by other offices	Public	A	N
		BRIEFING														
		STATEMENTS														
	/5/2/3/4 ADVERTISEMENTS									Retain for 5 years after last modification	Manager in specific division / process owner	No copies to be kept by other offices	Internal	D	N	
		APPROVED														
		CORRESPONDENCE														
	/5/2/3/5 INTRANET									Retain Permanent	Manager in specific division / process owner	No copies to be kept by other offices	Confidential	A	N	
	/5/2/3/6 DISTRIBUTION LIST									Retain for 5 years after last modification	Manager in specific division / process owner	No copies to be kept by other offices	Confidential	D	Y	
	/5/2/3/7 SPEECHES									Retain Permanent	Manager in specific division / process owner	No copies to be kept by other offices	Confidential	A	N	
	/5/2/3/8 INTERVIEWS									Retain Permanent	Manager in specific division / process owner	No copies to be kept by other offices	Confidential	A	Y	

			/5/2/3/9 COMPANY PRESENTATIONS		Retain Permanent	Manager in specific division / process owner	No copies to be kept by other offices	Internal	A	N
			/5/2/3/10 CORPORATE SOCIAL RESPONSIBILITY		Retain Permanent	Manager in specific division / process owner	No copies to be kept by other offices	Internal	A	Y
				REQUESTS						
				APPROVED						
		INTERNAL MEMO								
				EXTERNAL CORRESPONDENCE	Retain Permanent	Manager responsible for Publication	No copies to be kept by other offices	Public	A	N
	/5/2/3/11 PUBLICATIONS									
		BULLETINS								
		ANNUAL REPORT (PUBLISHED)								
		CALENDAR / YEARBOOK								
		INAUGURAL LECTURES								
		PROSPECTUS								
		etc.								

6. INSTITUTIONAL DESIGN & MANAGEMENT													
			Recommended Retention	Office Responsible for Original	Other Offices' Disposal of Duplicates	Access Classification	Recommended Disposal Action	Contains Personal Information	Source / Notes				
/6/1 ORGANISATIONAL STRUCTURE													
/6/1/1 OU FOUNDING DOCUMENTS			Retain Permanent	Manager in specific division	No copies to be kept by other offices	Confidential	A	N	Records filed here includes: Constitutions of CSI's, SU Statute, etc.				
	/6/1/1/1 SUPPORT ENVIRONMENTS												
	/6/1/1/2 ACADEMIC ENVIRONMENTS												
/6/2 INSTITUTIONAL EVALUATIONS													
	/6/2/1 BUSINESS CONTINUITY		Retain Permanent	Manager in specific division	No copies to be kept by other offices	Confidential	A	N					
/6/3 DELEGATION OF POWERS, SIGNATURES & AUTHORITY													
	/6/3/1 DELEGATION OF POWERS AND AUTHORITY		Retain Permanent	Manager in specific division	No copies to be kept by other offices	Confidential	A	Y					
	/6/3/2 SIGNATURES FOR APPROVALS												
/6/4 STRATEGIC PLANNING													
	/6/4/1 STRATEGIC FRAMEWORK		Retain Permanent	Manager in specific division	No copies to be kept by other offices	Confidential	A	N					
	/6/4/2 OPERATIONAL PLANS												
	/6/4/3 PERFORMANCE PLANS												
	/6/4/4 INVESTMENT & VALUATION MANAGEMENT												
	/6/5/5 STRATEGIC BUDGETS												
/6/5 REPORTING													
	/6/5/1 BOARD REPORT		Retain Permanent	Manager in specific division	No copies to be kept by other offices	Restricted	A	N					
	/6/5/2 QUARTERLY REPORTS												
	/6/5/3 MONTHLY REPORTS												
	/6/5/4 ANNUAL REPORTS (Financial Statements included)												
/6/6 STRATEGIC PROJECTS MANAGEMENT													
	/6/6/1 ENGAGEMENT MANAGEMENT		Retain Permanent	Manager in specific division	No copies to be kept by other offices	Confidential	A	N					
		APPOINTMENT LETTER											
		TERMS OF REFERENCE											
		CORRESPONDENCE											
	/6/6/2 PROJECT MANAGEMENT		Retain Permanent	Project Manager	No copies to be kept by other offices	Confidential	A	N					
											/6/6/2/1 INITIATION		
											/6/6/2/2 PLANNING		
											/6/6/2/3 EXECUTION		
												CHANGE REQUEST	
											/6/6/2/4 MONITORING AND CONTROLLING		
											/6/6/2/5 CLOSURE		
												SIGN OFF	
												LESSONS LEARNT	
												POST IMPLEMENTATION REVIEW	
	/6/6/2/6 CORRESPONDENCE												
	/6/6/3 REPORTS		Retain Permanent	Manager in specific division	No copies to be kept by other offices	Confidential	A	N					
		/6/6/3/1 STEERCO											
		/6/6/3/2 BOARD											
		/6/6/3/3 PROJECT MANAGEMENT											
	/6/6/4 PROJECT BUDGET		Retain Permanent	Manager in specific division	No copies to be kept by other offices	Confidential	A	N					

7. LEGAL MANAGEMENT								
		Recommended Retention	Office Responsible for Original	Other Offices' Disposal of Duplicates	Access Classification	Recommended Disposal Action	Contains Personal Information	Notes
/7/1 AGREEMENTS								
	Legal Agreements A written or oral agreement between parties, as to a mutually agreed to course of action/arrangement, which is intended to be legally binding and enforceable by law	Hard Copies & E-copies: Retain for 5 years after termination of the agreement unless stated otherwise in the agreement	Agreement Owner: Functionary that is operationally responsible for the execution and signing of the agreement. This excludes Research Agreements, Human Resources Agreements and INNOVUS Agreements	D5 after expiration of contract or agreement.	Restricted	A	Y	SOURCE: Proses rakende die bestuur van kommersiële kontrakte / Regsdienste, 2017
	Human Resources Agreements	SEE 3. Human Resource Management						
	Research Agreements	Retain Permanent	Division for Research Development see also: Notes	D5 after expiration of contract or agreement.	Restricted	A	Y	Division for Research Development (DRD) is responsible for agreements of which the main element is research. Legal Services only provide input when required. Research related agreements are managed and retained on systems as specified by the Division for Research Development Agreements about the transfer of copyright of academic articles written by SU academics is also managed by DRD
	INNOVUS Agreements	Retain Permanent	Division for Research Development AND Innovation and Business Development	D5 after expiration of contract or agreement.	Restricted	A	N	Innovus is responsible for IP related transactional documents, including all agreements, invention disclosures, patent prosecution history.
/7/1/3 AGREEMENTS REGISTER		Retain Permanent	Owner of Register see also: Notes	No copies to be kept by other offices	Confidential	A	N	Legal Services is the owner of the Agreements Register for agreements submitted to them. DRD is the owner of the Research Agreements register
/7/2 LITIGATION								
		Retain for 5 years after last modification	Attorneys of Record / Innovus	No copies to be kept by other offices	Restricted	A	Y	
/7/3/ LEGAL ADVICE AND OPINIONS								
	/7/3/1 CORRESPONDENCE	Retain for 5 years after last modification	Legal Services / Innovus	No copies to be kept by other offices	Restricted	A	N	Always part of litigation or agreements. External written legal advice will be retained in terms of the main file, e.g opinion on language policy or admissions policy. Other advice will be retained in terms of main file.
	/7/3/2 REGISTER	Retain Permanent	Legal Services / Innovus	No copies to be kept by other offices	Confidential	A	N	Copies of these items will be kept within Innovus only.
/7/4 DISCIPLINARY DISPUTES								
	For records on Student Discipline only. Records on HR related disciplinary matters are filed at 3. Human Resources Management	Retain for 5 years after last modification	Head of Student Discipline - for combined file	No copies to be kept by other offices.	Restricted	A	Y	The combined file in terms of each disciplinary matter as provided for in the Student Disciplinary Code for Student Disciplinary matters will be retained on SUN-Student for 5 years after the last modification.
/7/5 LEGAL REQUESTS								
	Register	Retain Permanent	Legal Services	No copies to be kept by other offices	Confidential	A	N	Only the register should be retained. All other records, e.g. correspondence etc., regarding legal requests are working papers
/7/6 DRAFTING & REVIEW								
	Policies and Enforcements	Retain for 2 years after approval of policies and enforcements Retain 2 years after last modification	Policy Owner	No copies to be kept by other offices	Confidential	D	N	Working Papers
/7/7 KNOWLEDGE LIBRARY								
	RESEARCH	Retain until superseded	Legal Services	No copies to be kept by other offices	Confidential	D	N	
/7/8 REPORTING								
		Retain Permanent	Receiving Party, e.g. Audit and Risk Committee	No copies to be kept by other offices	Confidential	A	N	Mostly working papers. Final reports to be kept by receiving party, e.g. Audit and Risk Committee

8. PROCUREMENT MANAGEMENT													
/8/1 PROCUREMENT							Recommended Retention	Office Responsible for Original	Other Offices' Disposal of Duplicates	Record Classification	Recommended Disposal Action	Contains Personal Information	Source / Notes
/8/1/1 PURCHASING													
The range of activities supporting the processes of purchasing goods, works and services from external organisations							Retain for current financial year plus 5 years	Manager in specific division/process owner	No copies to be kept by other offices	Confidential	A	Y	
		Delivery Notes											
		Goods Received D											
		Purchase Orders											
		Quotes											
		Requisitions											
		Supplier Applications: Successful					Retain Permanent	Purchasing and Provisioning Services					
				Supplier Applications: Unsuccessful			Retain for current financial year plus 5 years						
Supply Contracts					Retain Permanent	See: 7.1 Legal Management - Agreements							
/8/2 VENDOR MANAGEMENT													
	/8/2/1 VENDOR DATABASE						Retain Permanent	Purchasing and Provisioning Services	No copies to be kept by other offices	Confidential	A	Y	
	/8/2/2 VENDOR PRICELIST/FEES						Retain until superseded						
	/8/2/3 CORRESPONDENCE						Retain until superseded						
		Price Increases											
		Change of Banking Details											
		Credit Limits											
		Sole Supplier Correspondence											
/8/3 REPORTING													
	/8/3/1 VENDOR PERFORMANCE REPORTS						Retain Permanent	Purchasing and Provisioning Services	No copies to be kept by other offices	Confidential	A	Y	
	/8/3/2 STOCK TAKE REPORTS												
	/8/3/3 VENDOR SPEND REPORT												
	/3/4 PURCHASE ORDER REPORT												
/8/4 TENDER MANAGEMENT													
	/8/4/1 INTERNAL REQUEST FOR INFORMATION						D5 after completion of project (if no litigation ensues)	Purchasing and Provisioning Services	No copies to be kept by other offices	Confidential	D	Y	
	/8/4/2 TENDERS						D5 after completion of project (if no litigation ensues) Unsuccessful Tenders: D1	Purchasing and Provisioning Services	No copies to be kept by other offices	Restricted	D	Y	
		/8/4/2/1 EXTERNAL REQUEST FOR INFORMATION											
		/8/4/2/2 TENDER ADVERTISEMENT											
		/8/4/2/3 TENDERS RECEIVED											
		/8/4/2/4 STAKEHOLDERS INPUT											
		/8/4/2/5 EVALUATION											
	/8/4/3 TENDER REGISTER						Retain Permanent	Purchasing and Provisioning Services	No copies to be kept by other offices	Restricted	A	Y	
/8/5 PROCUREMENT PLANNING													
							Retain Permanent	Purchasing and Provisioning Services	No copies to be kept by other offices	Restricted	A	Y	

9. SAFETY HEALTH ENVIRONMENT MANAGEMENT								
		Recommended Retention	Office Responsible for Original	Other Offices' Disposal of Duplicates	Access Classification	Recommended Disposal Action	Contains Personal Information	Source / Notes
/9/1 SAFETY MANAGEMENT								
	/9/1/1 REPORTS	Retain Permanent	Risk Management and Campus Security	No copies to be kept by other offices	Confidential	A	Y	
	/9/1/2 EHS SPECIFICATIONS							
	/9/1/3 NOTIFICATIONS							
	/9/1/4 PLANS							
	/9/1/5 ASSESSMENTS							
	/9/1/6 MANUALS							
	/9/1/7 PERSONAL PROTECTIVE EQUIPMENT (PPE) MANAGEMENT							
	/9/1/8 LIBRARY							
	/9/1/9 CLAIMS							
/9/2 OCCUPATIONAL HEALTH MANAGEMENT								
	/9/2/1 REPORTS	Retain Permanent	Risk Management and Campus Security	No copies to be kept by other offices	Confidential	A	Y	
	/9/2/2 MEDICALS							
	/9/2/2/1 FIT FOR DUTY							
	/9/2/2/2 MEDICAL REPORTS							
	/9/2/3 CLAIMS							
	/9/2/3/1 DAMAGES							
	/9/2/4 APPOINTMENTS							
/9/3 ENVIRONMENTAL MANAGEMENT								
	/9/3/1 REPORTS	Retain Permanent	Facilities Management	No copies to be kept by other offices	Confidential	A	Y	
	/9/3/2 SPECIFICATIONS							
	/9/3/3 NOTIFICATIONS							
	/9/3/4 PLANS							
	/9/3/5 ASSESSMENTS							
	/9/3/6 MANUALS	Retain until superseded	Facilities Management	No copies to be kept by other offices	Internal	A	N	
	/9/3/7 PERSONAL PROTECTIVE EQUIPMENT (PPE) MANAGEMENT	Retain for 6 years after employment has ended	Facilities Management	No copies to be kept by other offices	Confidential	D	Y	
	/9/3/8 LIBRARY	Retain until superseded	Facilities Management	No copies to be kept by other offices	Internal	D	N	
	/9/3/9 CLAIMS	Retain permanent	Facilities Management	No copies to be kept by other offices	Confidential	A	Y	

	/9/4 QUALITY MANAGEMENT								
		/9/4/1 CORRECTIVE ACTION AND IMPROVEMENT REQUEST		Retain Permanent	Facilities Management	No copies to be kept by other offices	Confidential	A	N
			/9/4/1/1 CAIR REGISTER						
		/9/4/2 PLANS							
		/9/4/3 INSPECTIONS							
		/9/4/4 REPORTS							

10. SECRETARIAL

10.1 INTERNAL MEETINGS

10.1 INTERNAL MEETINGS			Recommended Retention	Office Responsible for Original	Other Offices' Disposal of Duplicates	Access Classification	Recommended Disposal Action	Contains Personal Information					
The list of SU's statutory and operational committees that are obliged to retain their records on SUN-Records, is reviewed annually and their secretariat will be notified. Please refer to the SU Retention Schedule Guide, April 2022 for guidance on the retention of recordings of meetings. For the purpose of this section, same applies to the records of University of Stellenbosch Enterprises (Pty) Ltd (USE). Where reference is made to "Manager in specific division – in case of USE this refers to Chief Director – Innovation and Commercialisation.													
	Agenda Attendance Register Communication Report Correspondence Decision Register Declaration of Interest Declarations of Conflict of Interest	Retain Permanent Archive after 1 year	Secretariat of the specific committee	Destroy 1 year after meeting	Restricted Note: Council's and Senate's draft minutes are regarded as confidential until they are approved at the next meeting. Only then can they be regarded as official. They are then in the public domain, but access must still be requested from the Registrar and is then limited to the requested information only.	A	Y						
	Elections: Ballot Papers Elections: CV's Elections: Nominations	Retain for 1 year after election				D							
	Elections: Results	Retain for 5 years after declaration of election results				D							
	Elections: Signatures	Retain Permanent				A							
	Gift Register Mandate Members List Minutes					D							
	Notifications					Retain Permanent		A					
	Presentations Procedure Recommendation Report Recordings Report Resolution Terms of Reference												
/10/2 EXTERNAL MEETINGS & EVENTS													
FOR FUTURE USE													
/10/3 SUBSISTENCE & TRAVEL													
		/10/3/1 ACCOMMODATION	Retain for 5 years	Person responsible for travel arrangements	No copies to be kept by other offices	Confidential	D	Y					
		/10/3/2 ACCOMMODATION ARRANGEMENTS											
		/10/3/3 TRAVEL ARRANGEMENTS											
		/10/3/4 CLAIMS											
		/10/3/5 ALLOWANCE											
		/10/3/6 BOARD MEMBERS											
/10/4 CALENDAR/DIARY MANAGEMENT													
	/10/4/1 ANNUAL CORPORATE CALENDAR	Retain Permanent when superseded	Registrar's Division	No copies to be kept by other offices	Public	A	N						
	/10/4/2 DIVISIONAL CALENDARS	Retain for 3 years	Manager in specific division	No copies to be kept by other offices	Internal	D	N						
/10/5 OFFICAL LETTERS													
	/10/5/1 BOARD MEMBERS /10/5/2 STAKEHOLDERS	Retain Permanent	Manager in division responsible for sending the Official Letter	No copies to be kept by other offices	Confidential	A	Y						
/10/6 MEMORANDUMS													
		Retain Permanent	Manager in division responsible for sending the Official Letter	No copies to be kept by other offices	Confidential	A	Y						
/10/7 NOTICES													
		Retain Permanent	Manager in division responsible for sending the Official Letter	Manager in specific division / process owner	Confidential	A	Y						

11. STATUTORY GOVERNANCE AND COMPLIANCE									
			Recommended Retention	Office Responsible for Original	Other Offices' Disposal of Duplicates	Record Classification	Recommended Disposal Action	Contains Personal Information	
/11/1 SU FOUNDATION									
	/11/1/1 TRUSTS, PARTNERHIPS AND COMPANIES		Retain Permanent	Owner of Trust, Partnership or Company	No copies to be kept by other offices	Confidential	A	Y	
	Correspondence								
	Founding Documentation								
	Reports								
	Structures								
	/11/1/2 TERMS OF REFERENCE		Retain Permanent	Secretariat of Committee or Task Team	No copies to be kept by other offices	Confidential	A	Y	
		Constitutions of Committees							
		Rules							
		Mandates							
/11/2 AUDITING									
	/11/2/1 INTERNAL AUDITS		Retain for 5 years after completion of Audit	Manager responsible for Audit	No copies to be kept by other offices	Restricted	D	Y	
		/11/2/1/1 PLANNING PROCESS							
									FOLLOW UP AUDITS
									AD HOC AUDITS
		/11/2/1/2 PERFORMANCE PROCESS							
									FOLLOW UP AUDITS
									AD HOC AUDITS
		/11/2/1/3 FINALISATION AND REVIEW							
									FOLLOW UP AUDITS
									AD HOC AUDITS
		/11/2/1/4 CORRESPONDENCE							
									FOLLOW UP AUDITS
									AD HOC AUDITS
/11/2/2 EXTERNAL AUDITS									
		FINANCIAL AUDIT							
/11/3 RISK MANAGEMENT									
	/11/3/1 RISK REPORTS		Retain Permanent	Risk Management and Protection Services	No copies to be kept by other offices	Confidential	A	Y	
		REPORTS							
	/11/3/2 RISK INCIDENT MANAGEMENT								
	/11/3/3 RISK REGISTER AND SURVEYS								
	/11/3/4 OPERATIONAL RISK ASSESSMENT								
	/11/3/5 STRATEGIC RISK ASSESMENT								
/11/4 GOVERNANCE									
	/11/4/1 LEGISLATION		Retain until superseded	Legal Services	No copies to be kept by other offices	Internal	D	N	
		/11/4/1/1 ACTS							
		/11/4/1/2 REGULATIONS							
	/11/4/2 ENFORCEMENTS		Retain until superseded	Manager in division responsible for Enforcement	No copies to be kept by other offices	Confidential	D	Y	
		/11/4/2/1 DIRECTIVES							
		/11/4/2/2 CIRCULARS							
		/11/4/2/3 PRACTICE AND GUIDANCE NOTES							
	/11/4/3 CONSULTATIONS		Retain for 5 years after review or request	Manager in division responsible for Enforcement	No copies to be kept by other offices	Confidential	D	Y	
	/11/4/4 COMPLIANCE		Retain Permanent	Compliance Officer	No copies to be kept by other offices	Restricted	A	Y	
		/11/4/4/1 NIPMO		Retain Permanent	Innovus	No copies to be kept by other offices	Restricted	A	Y

	/11/5 REPORTS: with regards to Statutory, Governance and Compliance matters								
			Retain Permanent	Entity responsible for report	No copies to be kept by other offices	Confidential	A	Y	
	/11/6 RESEARCH: in terms of statutory, governance and compliance matters								
		Correspondence	Retain for 5 years after completion of Research	Entity responsible for research	No copies to be kept by other offices	Confidential	D	Y	
		Reports	Retain Permanent				A		
		Research Outputs							
	/11/7 DECLARATIONS								
			DECLARATION OF INTEREST	Retain for 5 years after declaration	Line Manager in Specific Division	No copies to be kept by other offices	Restricted	D	Y
			GIFT REGISTERS						
	/11/8 BEE								
		Score Cards Required Information Correspondence Reports	Retain for 5 years in accordance with the Broad Based Black Economic Act (53, 2003)	Employment Equity Manager	No Copies to be kept by other offices	Restricted	D	Y	

12. STUDENT ADMINISTRATION MANAGEMENT

Student and Academic Administration records on Adabas Natural and SUN-STUDENT:

The indicated retention periods apply to hard copy as well as to electronic records in the Adabas system and SUN-Student. Since Adabas is being phased out from 2021, ALL student and academic records, up until the transfer to SUN-Student is complete, must be retained on the Adabas Natural system for five years after the last modification on any transaction or entry. Current Adabas users will retain only view rights, since no additions to this system will be allowed once the changeover to SUN-Student commence.

		Retention Recommended Retention	Office responsible for Retention of Original	Other Offices	Access Classification	Recommended Disposal Action	Contains Personal Information
12.1 Applications and Admissions							
12.1.1 Admission Criteria							
		Retain Permanent. Archive when superseded	Student Administration	No records to be kept by other offices	Internal	A	N
12.1.2 Admission and Registration							
	Applications	No Registration after application: D3 Registration, but no further activity: D5	Student Administration	No Copies to be kept by other offices	Restricted	D	Y
	Academic Progress Report	Retain Permanent on system as part of Student File. No paper copies to be filed				A	
	Academic Records: Internal (SU)	Retain Permanent on system as part of Student File. No paper copies to be filed				A	
	Academic Records: External	Retain Permanent on system as part of Student File. No paper copies to be filed				A	
	Admissions: Successful	D5 after termination of studies due to graduation and/or any other instance.				D	
	Admissions: Unsuccessful	D1 after applicant was notified of outcome and conclusion of any appeals.				D	
	Correspondence	Retain Permanent on system as part of Student File. No paper copies to be filed				A	
	Proof of Payments	Retain Permanent on system as part of Student File. No paper copies to be filed				A	
	Re-admissions: Successful	D5 after termination of studies due to graduation and/or any other instance.				D	
	Re-admissions: Unsuccessful	D1 after applicant was notified of outcome and conclusion of any appeals.				D	
	Recommendations	Retain Permanent on system as part of Student File. No paper copies to be filed				A	
	Registration	Retain Permanent on system as part of Student File. No paper copies to be filed				A	
	Student Cards	Retain Permanent on system as part of Student File. No paper copies to be filed				A	
	Subject Forms	Retain Permanent on system as part of Student File. No paper copies to be filed				A	
	Supplementary Documents	see Guidelines for POPI related support documents				D	

	12.1.3 Reporting							
	12.1.4	Admission and Registration Statistics	Retain Permanent of System	Student Administration	No Copies to be kept by other offices	Confidential	A	N
		Interruption of Studies: Postgraduate	Retain Permanent of System					
		Interruption of Studies: Undergraduate	Retain Permanent of System					
		Programme Statistics	Retain Permanent of System					
		Student Placement Recommendations	Retain Permanent of System					
		Student Recommendation Report	Retain Permanent of System					
		Student Requests	Retain Permanent on system as part of Student File. No paper copies to be filed					
		12.1.5	Discontinuation of Studies					
		12.1.6	Enquiries and Correspondence				D1 after finalization of enquiry or correspondence	
	12.2 Residence Accommodation							
		Applications: Successful	Retain Permanent on system as part of Student File. No paper copies to be filed	Admission and Residence Placement - dalk eerder Division responsible for admission and residence placement	No copies to be kept by other offices	Confidential	A	Y
		Applications: Unsuccessful	D1 after applicant was notified of outcome and conclusion of any appeals.				D	
		Cancellations	D1 after cancellation and conclusion of any appeals.				D	
		Placement Criteria	Retain Permanent: Archive after update or revision				A	
		Placement Lists	D1 after applicant was notified of outcome and conclusion of any appeals.				D	
		Placements and Reservations	D1 after applicant was notified of outcome and conclusion of any appeals.				D	
		Reports	Retain permanent on system. No paper copies to be filed				A	
		Waiting Lists	D1 after applicant was notified of outcome and conclusion of any appeals.				D	
	12.3 Financial Aid							
		Applications	Retain Permanent on system as part of Student File. No paper copies to be filed	Bursaries and Loans Division	No Copies to be kept by other offices	Confidential	A	y
		Bursaries Full Cost Files	Retain permanent on system. No paper copies to be filed				D	
		Correspondence	Destroy 5 years after last action on any SU system				A	
		Lists	Retain permanent on system				D	
		Reports	Retain permanent on system					
Career Advice		D1 after applicant was notified of outcome and conclusion of any appeals.						
12.4 Fees								
	Enquiries	Destroy 5 years after last action on any SU system	Finance Division: Student Fees	No Copies to be kept by other offices	Internal	D	N	
	Fee Information	Retain until superseded				D		
	Forms	Retain until superseded				D		

	12.5 Student Matters							
	12.5.1 Career Advice							
		Career Counselling and planning	Retain for 5 years after last action	Centre for Student Counselling and Development	No Copies to be kept by other offices	Confidential	D	Y
	12.5.2 Counselling and Development							
		Special Admission Examinations	Retain for 5 years after last action	Centre for Student Counselling and Development	No Copies to be kept by other offices	Restricted	D	Y
		Psychotherapy and counselling documents						
		Special Needs documents						
		Selection tests for specific professional qualifications						
		Referral letters						
		Psychometric tests						
		Process notes						
		Protocols						
		Profiles						
		Correspondence						
	12.5.3 Student Discipline							
		Appeal	Retain Permanent	Legal Services: Student Discipline	No copies to be kept by other offices	Restricted	A	Y
		Correspondence						
		Disciplinary register						
		Dispute resolution						
		Hearing records (including recordings)						
		Investigation dossier						
		Letter of decision						
		Notice of hearing						
		Plea document						
		Statement/Evidence						

13. ACADEMIC ADMINISTRATION

Student and Academic Administration records on Adabas Natural and SUN-STUDENT:

The indicated retention periods apply to hard copy as well as to electronic records in the Adabas system and SUN-Student. Since Adabas is being phased out from 2021, ALL student and academic records, up until the transfer to SUN-Student is complete, must be retained on the Adabas Natural system for five years after the last modification on any transaction or entry. Current Adabas users will retain only view rights, since no additions to this system will be allowed once the changeover to SUN-Student commence.

		Recommended Retention	Office responsible for Original	Other Offices	Access Classification	Recommended Disposal Action	Contains Personal Information
13.1 Curriculum Management							
Activities involved in the development and management of SU's academic curricula, programmes and courses. Includes accreditation							
	Curriculum Development	Archive after every update	Every lecturer of SU responsible for presenting a programme/module	No copies to be kept by other offices	Confidential	A	N
	Student Communications	Destroy 5 years after last action				D	Y
	Study Materials / Guides	Archive after every update				A	N
	Module Forms / Module Specification Documents	Archive after every update					
	Workshop Material	Archive after every update					
	Yearbook Adjustments	Archive after every update					
	Accreditation by professional bodies	Archive after every update					
	Approval of Curricula	Retain Permanent					
13.2 Assessment Management							
Activities associated with processing and forming judgements about the quality and extent of student learning.							
13.2.1 Assessment Management: Informal (Formative)							
	Assessment Papers: Assignments	D3 following the year of assessment. When determined by any professional body these records may be kept up to a maximum of five years	Lecturer responsible for module / programme	No copies to be kept by other offices	Confidential	D	Y
	Assessment Papers: Tests						
	Correspondence						
	Leave of Absence						
	Planning						
	Registers						
	Reports						
	Results						
	Study Guide (picking list)						
	Timetables						
	Assessment Strategies	Retain Permanent	Faculty / Department responsible for strategy	No copies to be kept by other offices	Confidential	A	N
13.2.2 Assessment Management: Formal (Summative)							
	Assessment Papers: Assignments	D3 following the year of assessment. When determined by any professional body these records may be kept up to a maximum of five years	Lecturer responsible for module / programme	No copies to be kept by other offices	Confidential	D	Y
	Assessment Papers: Tests						
	Correspondence						
	Leave of Absence						
	Planning						
	Registers						
	Reports						
	Results						
	Study Guide (picking list)						
	Timetables						
	Assessment Strategies	Retain Permanent	Faculty / Department responsible for strategy	No copies to be kept by other offices	Confidential	A	N

13.3 Timetable Management							
	Exam Timetables	Retain Permanent	Centre for Student Administration: Timetable Office	D1	Internal	A	N
	Other Timetables, e.g.tests, venues, telematic.	D1	Official who approves the record	D1	Internal	D	N
13.4 Examination Management							
Examination Material							
	Correspondence	D3 following the year of the assessment	Lecturer responsible for module	D after finalisation of results or any appeals process	Confidential	D	Y
	Question Papers	Retain permanent on system	Lecturer responsible for module	D after finalisation of results or any appeals process	Confidential	A	N
Examination Venues							
	Application	D3 following the year of the assessment	Centre for Student Administration: Examination Office	No copies to be kept by other offices	Confidential	D	N
	Lists						
	Register						
	Evaluations						
	Reports						
Examination Supervision							
	Appointment	Retain for 1 year after last action	Centre for Student Administration: Examination Office	No copies to be kept by other offices	Confidential	D	Y
	Payments						
	Applications						
	Attendance List						
	Reports						
	Attendance Slips						
	Control Form						
Examination Results Administration							
	Answer Scripts	D3 after last action, following the year of the assessment	Lecturer responsible for module	No copies to be kept by other offices	Restricted	D	Y
	Examination Assessment						
	Remarking						
	Correspondence						
	Examiner / Moderator Report						
	Mark Sheets						
	Mark Changes						
	Mark Statement						
	Assessment of Modules done by Moderator						
	Assessment of Thesis done by Examiner						
Special Concessions		D3 following the year of the assessment	Lecturer responsible for module	No copies to be kept by other offices	Restricted	D	Y

13.5 Graduation Administration							
	Academic Certificates: Absentia Register	D3	Registrar's Division	No copies to be kept by other offices	Internal	D	y
	Academic Certificates: Contact list						
	Academic Certificates: Not Collected Registers						
	Academic Certificates: Proof Receipts						
	Academic Certificates: Wording						
	Academic Dress: Register						
	Correspondence						
	Date Schedules	D1					
	Graduation Programme: Agenda	Retain Permanent					
	Graduation Programme: Final Programme	D1					
	Graduation Programme: Members List						
	Graduation Programme: Procession						
	Graduation Programme: Timetable						
	Graduation Programme: VIP Parking and Seating						
	Honorary Degree Nominations	Retain Permanent					
	Honorary Degrees Nominations: Amendments						
	Honorary Degrees Nominations: Contact List						
	Honorary Degrees Nominations: Correspondence						
	Honorary Degrees Nominations: Invitations						
	Nominations: Recommendation: Reports						
		Public	A				
	Restricted	A					

14. RESEARCH DEVELOPMENT MANGEMENT							
		Recommended Retention	Office Responsible for Original	Other Offices' Disposal of Duplicates	Access Classification	Recommended Disposal Action	Contains Personal Information
/14/1 FUNDING							
	/14/1/1 APPLICATIONS	Retain Permanent	Division for Research Development	No copies to be kept by other offices	Confidential	A	Y
	/14/1/2 AWARDS						
	/14/1/3 UNSUCCESSFUL	Retain for 5 years after student was notified of outcome	Division for Research Development	No copies to be kept by other offices	Confidential	D	Y
/14/2 CAPACITY DEVELOPMENT							
	Timetables	Retain for 5 years after current academic year	Division for Research Development	No copies to be kept by other offices	Internal	D	Y
	Workshop / Mentorship material						
	Reports	Retain Permanent					
/14/3 REPORTING							
		Retain Permanent	Division for Research Development	No copies to be kept by other offices	Confidential	A	Y
/14/4 RESEARCH INFORMATION							
	/14/4/1 DATABASE MANAGEMENT		Retention requirements for research data & records will need to be determined on a project by project basis, or at least for clearly defined categories of projects, taking account of: · the legal & regulatory framework for particular types of research · the terms & conditions imposed by external research sponsors				
		/14/4/1/2 RESEARCH DATA					
	/14/4/2 RAW DATA MANAGEMENT						
/14/5 RESEARCH CONTRACTS							
Division for Research Development (DRD) is responsible for agreements of which the main element is research. Legal Services and INNOVUS only provide input when required. Research related agreements are managed and retained on systems as specified by the Division for Research Development. Agreements about the transfer of copyright of academic articles written by SU academics is also managed by DRD							
		Retain Permanent	Division for Research Development	No copies to be kept by other offices	Restricted	A	Y
/14/6 ETHICAL CLEARANCE							
	Application	Retain Permanent	Person responsible for the research ethics manage these records. Records are retained on the Ethics	D1 after completion of research	Restricted	A	Y
	Correspondence						
	Supporting Documents						
	Result Letter						
	Ethics Checklist						

15. CONTROLLED RECORDS						
	Recommended Retention	Office Responsible for Original	Other Offices' Disposal of Duplicates	Access Classification	Recommended Disposal Action	Contains Personal Information
C1 Templates and Forms						
Blank templates and forms are filed here	Destroy when superseded	Owner of document	No copies to be kept by other offices	Public	D	N
C2 Constitutions						
Founding information of e.g. Centres, Institutes and Schools	Retain permanent when superseded	Owner of document	No copies to be kept by other offices	Public	A	N
C3 Organisational Structure						
Records indicating the hierarchical arrangement of authority, communication, rights and duties of entities within the SU , as well as of SU as a whole, are filed here	Retain permanent when superseded	Owner of document	No copies to be kept by other offices	Public	A	N
C4 Policies and Regulations						
SU policies and regulations, aiding SU with compliance and good governance, are filed here	Retain permanent when superseded	Owner of document	No copies to be kept by other offices	Public	A	N
C5 Procedures						
Records indicating prescribing procedures for various actions are filed here.	Retain permanent when superseded	Owner of document	No copies to be kept by other offices	Public	A	N
C6 Specifications						
Records describing or identifying something precisely, or of stating a precise requirement are filed here.	Retain permanent when superseded	Owner of document	No copies to be kept by other offices	Public	A	N
C7 Manuals						
A comprehensive and step-by-step guide on a particular topic for both beginners and practitioners that also serves as a reference book are filed here.	Retain permanent when superseded	Owner of document	No copies to be kept by other offices	Public	A	N
C8 Standards						
Standards, developed by SU or other entities, that SU needs to comply with are filed here	Retain permanent when superseded	Owner of document	No copies to be kept by other offices	Public	A	N
C9 Training Modules						
Records relating to programmes designed to better the performance of individuals and groups in institutional settings are filed here.	Retain permanent when superseded	Owner of document	No copies to be kept by other offices	Public	A	N

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ANNEXURES



1. SUN-Records Access Authorization Form

SU Archives and Records Management Division will not provide access to any records in its physical or electronic custody unless authorized by the legal owner of the records. Each environmental head that are obliged in terms of the SU Records Management Policy (2016) to retain records in the SUN-Records Repository, may designate individuals who are granted authorization to access their records. Please complete the form or make use of the online [Access Authorization Form](#)

2. Authorization

I hereby authorize the SU Archivist and Records Manager to allow the following individual/individuals listed in **section 4** to have access to the records and/or record categories listed below, as found in the SUN-Records Repository

..... Name	 Faculty/Department/Division	 Date
---------------	--------------------------------------	---------------

3. Security and Access Levels:

To protect records and information from inappropriate access and usage, access to records can be restricted by classifying them into one of four categories.

Public	Shared freely with the widest possible audience. Made available on the internet, with no network login required. Information that may be freely disclosed to the public is included in this category, e.g., published research, contact information, marketing materials etc.
Internal	Intended only for staff and students. Made available on the intranet, with network login required. This category is intended for internal data not meant for public disclosure, e.g., organizational charts, business records, emails etc.
Confidential	Intended for use by a limited group of University users. Sensitive data that, if compromised, could negatively affect operations, e.g., contracts with vendors, employee reviews etc.
Restricted	For use by a strictly defined group of university users . Highly sensitive institutional and customer data that, if compromised, could put the organization at financial, legal, or reputational risk, e.g., credit card information, employee and student records, medical records, financial account details, system usernames and passwords, etc.

4. LIST OF AUTHORIZED STAFF

[illegible]

RECORD DESTRUCTION AUTHORIZATION

When requesting authorisation to destroy records (all formats), they must have met minimum retention requirements as indicated in the SUN-Records Retention Schedule, and be no longer required for legal, administrative, financial or audit requirements. **ALL** records must be destroyed **confidentially**. Please send an email to argief@sun.ac.za for further advice on the destruction of digital media.

Instruction:

- Complete section 1 – 3 and email completed form to argief@sun.ac.za or use the online form: [Record Destruction Authorization Form](#)
- Please refer to the SUN-Records Retention Schedule to complete section 3
- The SU Archives and Records Management Services will retain the original of the Record Destruction Authorization Form and will return a copy to the operational unit for further action
- Upon return of the Authorization Form the operational unit can dispose of the records.

1. Requester Information

Name	
Faulty / Department/Division	
Telephone	
Email address	
Signature	

2. Authorisation

Faculty/Department/ Division Authorisation

This section is to be signed by the environment's Manager / Head

Are the records still required by your area, Faulty, Department or Division? If YES has been ticked for any of these functions, these records must be retained. Please indicate those records by ticking the RETAIN box in section 3	Yes ☐ No ☐	If yes, please specify why this information is required
Legal Requirements: does legislation require some or all of the records to be retained, or are they required for, or related to a current or expected legal case, etc.)	Yes ☐ No ☐	
Administrative need: are some or all of the records till required to support the business activities of the University?	Yes ☐ No ☐	
Audit or financial requirements: do some or all of the records relate to an activity which is being audited, or about to be audited?	Yes ☐ No ☐	

SU Archives and Records Management
Tel: 021 808 2314, argief@sun.ac.za

3. Destruction: Record Details				
Record/Document Type	Medium (e.g., paper)	Date Range (from and to)	Retain record? Tick box if YES	If box is ticked, please specify why this information is required
Agreements register	Paper	1979 - 1999	Yes ☒	Indicated by SUN-Records Retention Schedule as vital records that needs to be archived, also needed for audit purposes
			Yes ☐	
			Yes ☐	
			Yes ☐	
			Yes ☐	
			Yes ☐	
			Yes ☐	
Total number of records to be destroyed				