



UNIVERSITY OF THE  
WITWATERSRAND,  
JOHANNESBURG

## **CENTRAL RECORDS OFFICE**

### **RECORDS AND ARCHIVES MANAGEMENT SERVICES**

UNIVERSITY *of the* WITWATERSRAND, JOHANNESBURG

RECORDS RETENTION SCHEDULES 2017

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## Introduction

The University of the Witwatersrand, Johannesburg (Wits University) is subject to various laws which necessitate compliance in the management of its records. The Wits University Proposed Records Retention and Disposal Schedules have been developed basing on a model common to other institutions of higher learning in South Africa and internationally. The model has been widely adopted throughout the higher education sector and these schedules specifically tailored to meet needs of Wits University. The schedules have been validated using a process of internal consultation. The retention schedule is founded on best practice and benchmarking on both national and international standards. The Joint Information Systems Committee (JISC)<sup>1</sup> guidelines were also used as the guiding standards as they address documents and records commonly found in universities. JISC guidelines have been implemented in many higher education institutions across the globe. Considerations of the varied legislations that impact on the different types of records and documents were also taken into account during the development of the schedules. Generally, legislation, subsidiary legislation, regulations and by-laws also impact on how documents and records containing certain types of information should be maintained and retained. A good example is the Financial Intelligence Centre Act (38 of 2001) (FICA Act) and regulations which stipulate the retention period for specified financial records.

In addition to purporting to meet the legislative and regulatory requirements, the Wits University Proposed Records Retention and Disposal Schedules aim to promote consistency of records retention across the University. They aim to eradicate the current rampant and unnecessary duplication of records, and to facilitate the confident and defensible disposition of records no longer required by Wits, by

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<sup>1</sup> JISC (formerly the **Joint Information Systems Committee**, and still commonly referred to as **JISC**) is a United Kingdom non-departmental public body whose role is to support post-16 and higher education, and research, by providing leadership in the use of information and communications technology (ICT) in learning, teaching, research and administration. (From Wikipedia, the free encyclopedia)

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stipulating the periods and conditions applicable to certain classes of records. They also define the final disposal action required when records have reached the end of their retention period. The Wits University Proposed Records Retention and Disposal Schedules constitute a major cornerstone setting out the framework for managing documents, records and archives of Wits University.

### How to Use the Records Retention Schedules

These schedules apply to records in all formats regardless of whether they are held on paper, electronically, microfilm or any other storage media. What is considered is the informational content of the record. The schedules primarily apply to official Wits records held in officially designated Wits documents and records management systems. While it is accepted that it may be expedient to keep duplicate copies of documents for short term reference purposes, it should be emphasized that such records should not be retained for any longer than the stipulated retention period of the original records.

The Wits University Proposed Records Retention Schedules use the functional approach to effectively categorize the major University activities that generate records into identified functional areas (e.g. Teaching and Learning, Student Academic Administration, Finance Management), assigning each category or subcategory a separate specific retention period. To minimize repetition, certain record types common to all functions are covered within a general schedule. While some functions align directly with sectional responsibilities, other functions may be found to be common to a number of different areas of activity. A good example is the Research function, where functions are shared between Institutes, Research and Development, Finance etc. This functional approach allows the schedules to be flexible and to enable areas that carry out the same functions to treat their records in a consistent fashion. This is to ensure that, that while the structure of the University may change over time, the functions of the institution stay largely the same and the

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retention schedules remain applicable.

The types of records created by each function are systematically defined and described within the schedules. For each type of record, the description is followed by a recommended *minimum* period of retention. Due to various regulatory or business requirements, records must be retained for a certain number of years, depending on the applicable requirements. Listed in the **APPENDIX** of this document is a selective list of legislations and regulations that guide determination of the period within which varied types of records should be retained<sup>2</sup>. Users in specialized areas are encouraged to consult legislation and regulations specific to their areas of activity that might contain further requirements relating to the retention of records. The records with a retention period marked 'JISC guidelines' show the retention periods and actions that were adapted from JISC recommendations. The records classes which do not have an indication of the basis for their retention period and action indicate that the period and disposal action have been determined internally by the University, taking into consideration internal factors and best practice around those records types. References to, for example, **+ 5 etc.** indicate the additional number of years after the initial period of retention for which records should be kept (e.g. Current Financial Year +5 denotes a total retention period of the Current Financial Year plus a further 5 years).

The final column indicates the ultimate disposal of the records once a stated retention period has been reached: **"Destroy"** is self-explanatory. Where the action stipulates **"Archive"** this means preservation of the records in perpetuity by transferring the records to the custody of the Wits Archives. Where the action stipulates **"Review for Archival Value"** this means the records need to be further appraised at the end of their use period to determine if their value has changed over time.

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<sup>2</sup> This list cannot be comprehensive for practical reasons given that the pieces of legislation and regulations applicable to records retention in South Africa are in excess of 3000.

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### Disposal

All of the retention periods in this proposed schedule are the minimum periods for retaining the records. Additionally, any class may be required to be retained longer if subject to the following requirements:

- a. for any civil or criminal court action which involves or may involve the University and any entity affiliated to the University;
- b. because the records may be obtained by a party to litigation under the relevant Rules of Court, whether or not the University is a party to that litigation; or
- c. For any other purpose required by law.
- d. For university purposes

### Definition of Terms

**FICA** – Financial Intelligence Centre Act (38 of 2001). The law designed to combat the abuse of financial systems to hide and / or disguise the proceeds of crime. This law requires all South African financial institutions to ensure that they have correct details for all of their customers by establishing and verifying certain customer details.

**JISC** - Joint Information Systems Committee, is a United Kingdom non-departmental public body who provide impartial advice, guidance and resources to enable effective and innovative use of technologies for the UK education sector and internationally. Support, advice and resources are built around five core themes - organisational efficiency, enhancing learning and teaching, external engagement; sustainability and research.

**Wits University** - the University of the Witwatersrand, Johannesburg

**RRDS** - Records Retention and Disposal Schedules, a plan for the management of records, listing types of records and how long they should be kept; the purpose is to provide continuing authority to dispose of or transfer records to historical archives

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Description	Proposed Retention : CRO	Proposed Retention: User	Recommended Disposal Action
<b>GENERAL</b>	These 5 functions are common to all the categories unless otherwise indicated		
<b>Planning</b> Records of formulating plans for implementing the strategy	Superseded +10 years.		Archive
	<b>Performance Management</b>		
Data and analyses of performance against the plans for implementing the strategy	Current Academic Year +3 years.		Destroy
Reports of performance against plans for implementing the strategy	Current Academic Year +3 year.		Archive
Records of the conduct and results of audits and reviews of performance and responses to the results	Current Academic Year +3 year.		Archive
	<b>Policy</b>		
Records of developing & establishing policies	Superseded +10 years.		Archive
	<b>Procedures</b>		
Records of developing & establishing procedures	Superseded +5 years[JISC guidelines]		Archive
<b>Strategy Development</b> Records of developing & establishing strategy	Superseded +10 years [JISC guidelines].		Archive

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Description	Retention proposed : CRO	Proposed retention: User	Recommended disposal action
<b>CAMPUS SERVICES</b>	The function associated with acquisition, operation, environmental management and servicing of the real estate, assets and infrastructure of the university. Listed below are the activities and sub-activities that are performed under this function.		
<b>Equipment Management</b>	Activities involved in the management of fittings and equipment either owned or leased by the University.		
<b>Acquisition records</b> Records documenting the development of specifications for, and the acquisition of, equipment/consumables: major items	Life of item +6 years.		Archive
Specifications for & selection of items which are safety critical or associated with hazardous operations	Life of item +40 years. [JISC guidelines].		Archive
Records documenting the development of specifications for, and the selection of, equipment / consumables: other items.	Life of item. [JISC guidelines].		Destroy
<b>Storage records</b> Monitoring of the condition of stored items	Current year +1 year. [JISC guidelines].		Destroy
Records documenting the stock inventory for equipment / consumables.	Superseded. [JISC guidelines].		Destroy
Routine stocktaking & stock checking	Current year +1 year. [JISC guidelines].		Destroy
Movement of stock into & out of storage	Current year +1 year. [JISC guidelines].		Destroy
Installation/Commissioning records Installation of major items	Decommissioning/removal +6 years.		Destroy
Installation of items which are safety critical or associated with hazardous operations	Decommissioning/removal +40 Years.		Destroy

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Installation of other items	Decommissioning/removal +1 year.		Destroy
Pre commissioning examinations of lifting equipment, as required by regulations	Decommissioning.		Destroy
Pre commissioning examinations of accessories for lifting, as required by regulations	Issue of report +2 years.		Destroy
Post installation examinations of lifting equipment, as required by the regulations cited	Decommissioning.		Destroy
<b>Inspection &amp; Testing</b> Inspection & testing records	Completion of next inspection or disposal of item +1 year.		Destroy
Inspection & testing records of items which are safety critical or associated with hazardous operations.	Disposal of item +5 years.		Destroy
Examination, testing & repair of items provided to control exposure to hazardous substances.	Date of action +5 years.		Destroy
Examination, testing & repair of items provided to control exposure to asbestos.	Creation +5 years.		Destroy
'Inspections' of lifting equipment, as defined by regulations	Completion of next inspection.		Destroy
Inspections & 'thorough examinations' of lifting equipment, as required by the regulations cited	Completion of next report or issue of report + 2 years.		Destroy
<b>Maintenance records</b> Maintenance records: major items	Decommissioning/ removal +6 years.		Destroy
Maintenance records: items which are safety critical or are associated with hazardous operations	Decommissioning/removal +40 Years.		Destroy
Maintenance records: items proved to control exposure to hazardous materials or equipment.	Creation +5 years.		Destroy

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<p><b>Disposal records</b> Authorisations for the disposal of items and the evaluation of alternative methods of disposal</p>	<p>Disposal of item +1 year [JISC guidelines].</p>		<p>Destroy</p>
<p>Cleaning/sanitisation prior to disposal of items used in connection with operations involving substances hazardous to health</p>	<p>Disposal of item +6 years.</p>		<p>Destroy</p>
<p>Cleaning/sanitisation of other items prior to disposal</p>	<p>Disposal of item +1 year [JISC guidelines].</p>		<p>Destroy</p>
<p>Records documenting the transfers of ownership of equipment</p>	<p>Disposal of item +1 year [JISC guidelines]</p>		<p>Destroy</p>
	<p><b>Environmental Management</b> The range of activities associated with managing the impact of the institution and its business on the environment, and of ensuring compliance with legislation on environmental matters</p>		
<p><b>Environmental Audit</b> Records of the conduct and results of environmental audits, and action taken to address issues raised.</p>	<p>Completion of audit +5 years. [JISC guidelines].</p>		<p>Archive</p>
<p><b>Environmental Hazard Identification &amp; Risk Assessment</b> Records documenting identified environmental hazards to the institution, or created by its operations, &amp; the conduct &amp; results of risk assessments.</p>	<p>Elimination of risk or Updating of risk assessment + 5 years. [JISC guidelines].</p>		<p>Destroy</p>
<p><b>Environmental Management Scheme Accreditation Management</b> Records of the attainment &amp; maintenance of the University's accreditation under established environmental management schemes.</p>	<p>End of accreditation +1 year.</p>		<p>Destroy</p>
<p><b>Environmental Awareness Promotion</b> Records of action taken to raise awareness of environmental issues among employees, other staff &amp; students.</p>	<p>Current year +5 years.</p>		<p>Destroy</p>

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	<b>Environmental Incident Recording, Reporting &amp; Investigation</b>		
Records of the recording of environmental incidents on the premises or caused by operations.	Last action on incident + 40 years. [JISC guidelines].		Archive
Notifications & reports of reportable environmental incidents to enforcing authorities.	Date of notification +5 years. [JISC guidelines]		Destroy
	<b>Waste Management</b>		
Records of the classification, collection & storage of 'controlled waste' prior to removal from the premises for disposal.	Removal of waste consignment +2 years.		Destroy
Register of 'controlled waste' removed from the premises for disposal by registered / licensed contractors.	Removal of waste consignment +2 years.		Destroy
Records of the classification, collection & storage of 'special waste' prior to removal from the premises for disposal.	Removal of waste consignment +3 Years		Destroy
Register of 'special waste' removed from the premises for disposal by registered / licensed contractors.	Removal of waste consignment + 3 Years.		Destroy
	<b>Facilities and Property Management</b> The activity of managing land and working, storage or living space within premises, and of acquiring, constructing, fitting-out, managing, maintaining, protecting and disposing of property. Includes buildings and land allotments owned, rented or leased by the University.		
	<b>Acquisition</b>		
Records documenting the acquisition of ownership of properties.	Ownership of property.		Archive
Records documenting negotiations for properties where the property was not acquired	Closure of negotiations + 6 years.		Destroy

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Deeds and certificates of title for properties owned by the institution.	Retain in agency until property is sold, when documents should be transferred to new owner.		Transfer/Archive
Maps, charts and plans. Including all plans and charts which relate to tenure records relating to capital assets required for administrative purposes of the agency	Retain for 5 years after disposal of property or expiration of lease.		Archive
Routine correspondence records relating to land matters.	Retain for 2 years after disposal of property or expiration of lease.		Destroy
<b>Compliance Management</b> Records of the conduct & results of inspections of properties by the enforcing authorities, & action taken to address issues raised.	Completion of subsequent inspection.		Destroy
Fire certificates	Issue of new certificate.		Destroy
<b>Development</b> Records of the development of properties, including project files	Ownership period of property + Transfer to new owner with property [JISC guidelines]		Archive/ Transfer
<b>Disposal</b> Records of the disposal of properties	Disposal of properties +6 years		Archive
<b>Facility Development</b>			
Records of the specification of requirements for facilities	Next fitting +1 year [JISC]		Archive
Records of the development of interior design & fitting schemes	Next fitting +1 year [JISC]		Archive
Records of carrying out interior decoration & fitting out works	Next fitting +1 year [JISC]		Destroy
<b>Facilities booking</b>			
Records of booking rooms & venues (e.g. internal room booking, notifications, setups and forms)	2 years after date of last action		Destroy

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<b>Leasing</b>			
Records relating to leasing of premises, including land. Includes special leases, licences, tenancy and permissive occupancy agreements, contracts, agreements and conditions, documents of investigations and negotiations relating to leased premises. <b>Note:</b> <i>for retention of formal legal agreements, see</i> <b>Legal Affairs Management – Contracts &amp; Agreements</b>	Retain for 7 years after expiry or cancellation of lease.		Archive
<b>Maintenance</b>			
Records relating to the upkeep, repair, servicing and modification of			
Entries in the asset maintenance register.	Retain for 5 years after disposal of		Destroy
Records relating to pest control.	Retain for 7 years after last action.		Destroy
Records relating to interior renovations, including estimates and quotations.	Retain for 2 years after last action.		Destroy
Records relating to the modification and installation of utilities, (e.g. air conditioning, ventilation, lighting).	Retain for 5 years after disposal, transfer or vacation of		Destroy
Records relating to major repairs and maintenance which affect the structure of the building.	Retain for 5 years after disposal, transfer or vacation of premises.		Destroy
Minor repairs and routine maintenance, including grounds and utilities maintenance.	Retain for 2 years after last action.		Destroy
	<b>Space management</b> Activities involved in allocating space and in monitoring and reviewing space utilisation, conducting space audits; monitoring the utilisation		
Records of plans for the relocation of facilities within buildings or to other buildings.	Completion of relocation +10 years. [JIS].		Archive

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Records of the physical relocation of facilities.	Completion of relocation +2 years. [JISC].		Archive
<b>Fleet Management</b>			
The function relating to the acquisition, supply, use, maintenance and disposal of vehicles			
<b>Accidents</b> Records relating to accidents involving agency vehicles.	Retain for 7 years after last action.		Destroy
<b>Acquisition</b> The process of gaining ownership or use of property, services and other items required in the conduct of business where there is no tendering or Contracting-out process, i.e. where the cost of the acquisition is below the threshold for tendering.  <i>See – FINANCIAL MANAGEMENT</i> for financial records relating to the procurement process.	Retain for 5 years after last action.		Destroy
<b>Allowances</b> Records relating to authorisation and allowances for driving vehicles.	Retain for 5 years after authorisation expire.		Destroy
<b>Arrangements</b> Vehicle booking records. Vehicle running sheets or logbooks.	Retain for 2 years after last action. Retain for 2		Destroy
<b>Disposal</b> Records relating to the disposal of vehicles through any means, including destruction, sale and replacement.	Retain for 7 years after last action.		Destroy
<b>Infringements</b> Records relating to infringements of traffic regulations by staff.	Retain for 1 year after last action.		Destroy

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<p><b>Maintenance</b> Records relating to vehicle maintenance and services, including registration records.</p>	<p>Retain while vehicle remains with the university.</p>		<p>Destroy</p>
	<p><b>Security Management</b> The activities involved in protecting university land, buildings and facilities from accidental or intentional damage and in preventing unauthorised access.</p>		
<p>Records relating to procedures and instructions for the physical security of personnel and premises; investigations of, and reports on, general security related matters; and investigations of security breaches.</p>	<p>Retain for 7 years after last action.</p>		<p>Destroy</p>
<p>Surveillance video tapes used for monitoring security of premises which are not required for investigations.</p>	<p>Retain until tape has been reviewed and verified by agency that it has no further administrative use.</p>		<p>Destroy</p>
<p>Surveillance video tapes used for monitoring security of premises which are required for investigations.</p>	<p>Retain for 1 year after finalisation of investigative process or court proceedings and any appeals processes.</p>		<p>Destroy</p>

**FINANCE MANAGEMENT**

The function of managing the institution’s financial resources. Includes establishing, operating and maintaining accounting systems, controls and procedures; financial planning; budgeting; obtaining and distributing grants; managing funds and revenue; resource allocation and

	<b>Asset Management</b>		
Valuations of capital assets	Current Financial Year + 5 years.		Archive
Records of decisions and authorisations to dispose of capital assets	Current Financial Year (of disposal) + 5 years.		Archive
	<b>Cash Management</b>		
Records of opening, closing & routine administering of bank accounts	Closure of account + 5 years.		Destroy
Records of standing orders, direct debits etc.	Life of instruction + 5 years.		Destroy
Records of routine bank account deposits / withdrawals / transfers (paying-in slips, transfer instructions etc.)	Current Financial Year + 5 years.		Destroy
<b>Budget Management</b>			

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<p>Records of the preparation of operating budgets. Records may include, but are not limited to:</p> <ul style="list-style-type: none"> <li>• budget statements</li> <li>• submissions</li> <li>• approvals</li> <li>• briefings</li> <li>• calculations</li> <li>• forecasts</li> <li>• costing</li> </ul>	<p>Current Financial Year + 1 year.</p>		<p>Destroy</p>
<ul style="list-style-type: none"> <li>• working papers</li> <li>• progress reports</li> </ul>			
<p>Records of monitoring income &amp; expenditure against annual operating budgets, &amp; action taken to deal with variances</p>	<p>Current Financial Year + 1 year.</p>		<p>Destroy</p>
	<p><b>Investment Management</b> The activities involved in managing the institution's financial investment portfolio.</p>		
<p>Records of the overall management of the financial investment portfolio</p>	<p>Divestment + 5years.</p>		<p>Archive</p>
<p>Records of the purchase and sale of investments</p>	<p>Current Financial Year (of transaction) + 5 years.</p>		<p>Destroy</p>

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<p><b>Finance Strategy Development</b> Records documenting the development &amp; establishment of the University's finance strategy</p>	Superseded + 10 years.		Review for archival value
	<b>Financial Audit</b>		
Records of the conduct and results of financial audits and action taken to address issues raised	Last action on audit + 5 years.		Destroy
	<b>Financial Accounting</b>		
Records of the issue of sales invoices and the processing of incoming	Current Finance Year + 5 years.		Destroy
Records of the receipt & payment of purchase invoices	Current Finance Year + 5 years.		Destroy
Records of the payment &/or the reimbursement of employees' Expenses	Current Financial Year + 5 years.		Destroy
Records of the payment of honoraria to third parties (unless administered through the payroll)	Current Financial Year + 5 years.		Destroy
Records of the payment of expenses to third parties (e.g. honorary	Current Financial Year + 5 years.		Destroy
Records of the handling of petty cash	Current Financial Year + 5 years.		Destroy
Records of the receipt and processing of students' fees	Current Financial Year + 5 years.		Destroy
Records of the preparation of annual accounts	Current Financial Year + 5 years.		Destroy
Annual accounts	Current Financial Year + 5 years.		Archive
<p><b>Finance Management Performance Management</b> Records containing data on, analyses of and performance against the plans for implementation of the University's finance strategy</p>	Current Finance Year + 1 year.		Destroy

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Records containing reports of performance against the plans for implementation of the University's finance strategy	Current Finance Year + 10 years.		Archive
Records documenting the conduct and results of audits and reviews of the finance management function, and responses to the results	Current Finance Year + 10 years.		Archive
	<b>Management Accounting</b> The activities involved in monitoring and controlling the use of the institution's financial resources.		
Analyses of the internal deployment of financial resources	Current Financial Year + 1 year.		Destroy
Records of the preparation of statutory accounts	Current Financial Year + 5 years.		Destroy
Records of the processing of internal accounting transactions between operating units (i.e. cross-charges)	Current Financial Year + 1 year.		Destroy
Records of negotiating & administering formal contracts between operating units (e.g. for the provision of services)	End of contract + 1 year.		Destroy
<b>Funding Management</b> The activities involved in administering the University's income.			
Records of administering annual funding allocations from appropriate statutory funding bodies	Current Financial Year + 10 years.		Destroy
Records of administering research grants provided by research councils or corporate sponsors	End of grant + 5 years.*		Destroy
Records of administering scholarship funds	Current Financial Year + 5 years.*		Destroy

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<b>Payroll Administration</b>			
The activities involved in administering Wits University's employee payroll.			
Records of employees' authorisation for non-statutory Payroll deductions	Current Tax Year + 5 years.*		Destroy
Records of the calculation & payment of payroll payments to employees	Current Tax Year + 5 years.*		Destroy
Records of the operation of the Statutory Sick Pay scheme	Current Tax Year + 5 years.*		Destroy
Records of the operation of the Statutory Maternity Pay scheme	Current Tax Year + 5 years.*		Destroy
Records of payments of employers' contributions to pensions schemes for	End of employment + 75 years.		Destroy
Records of payments of employees contributions to pension schemes	End of employment + 75 years.		Destroy
<b>Purchasing and procurement:</b>			
The range of activities supporting the processes of purchasing goods, works and services from external organisations For acquisition of land buildings, use <b>Facilities and Property Management – Property</b>			
<b>Supplier Approval</b>	Superseded +5 years [JISC guidelines]		Destroy
Records of supplier evaluation criteria			
Invitations to prospective suppliers to apply for approval	Expiry of invitation OR rejection of application +6 months or Completion of approval. [JISC guidelines].		Destroy
Evaluations of applications for approval from prospective suppliers & notification of the outcome: approved suppliers	End of approval. [JISC guidelines].		Destroy
Evaluations of applications for approval from prospective suppliers & notification of the outcome: rejected suppliers	Rejection +1 year. [JISC guidelines].		Destroy

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<b>Supply Contract Tendering</b>		Award of supply contract +1 year.		Destroy
Records of the process of inviting & evaluating prequalification submissions from prospective suppliers				
Records of Invitations to Tender & tender evaluation criteria		End of supply contract +6 years.		Destroy
Records of the issue of Invitations to tender and handling incoming tenders		Award of supply contract +1.		Destroy
Records of the evaluation of tenders, the conduct of negotiations with tenderers and the notification of results of the tender evaluation process: rejected tenders		Award of supply contract +1 year		Destroy
Records of the evaluation of tenders, the conduct of negotiations with tenderers and the notification of results of the tender evaluation process: accepted tenders		End of supply contract awarded +6 Years		Destroy
Contract award report (as required by the regulations)		End of supply contract awarded +5 Years. [JISC guidelines].		Archive
Statistical reports		Current year +3 years. JISC guidelines].		Archive
<b>Purchasing Administration</b>				
Records of purchasing authorisation limits		Superseded +1 year. [JISC guidelines].		Destroy
Internal authorisations for procurement		Current Financial Year +1 year. [JISC guidelines].		Destroy
Purchase orders		Current Financial Year +5 years.		Destroy
Goods received notes/Goods inward notes		Current Financial Year +5 years*.		Destroy
	<b>Tax Management</b>			
	The activities involved in managing University of the Witwatersrand's tax affairs.			
Records of the preparation and filing of tax returns		Current Tax Year + 5 years.		Destroy

<b>GOVERNANCE AND STRATEGIC MANAGEMENT</b>			
The function of applying broad systematic management planning for the organisation. Includes the activities involved with the development, monitoring and reviewing of business plans, strategic plans, work plans, corporate plans and other long-term organisational strategies. Also includes the development of the corporate mission, objectives, continuous improvement processes, quality assurance and certification, and the formulation and amendment of legislation which provides the legislative basis for the university.			
<b>Audit</b>			
See Finance for financial audit records.			
<b>Quality audits</b> Records relating to quality audits. Includes audit reports.	Retain for 3 years after audit		Archive
<b>External performance audits</b> Records relating to external performance audits of the agency. Includes performance management systems audits performed by an external auditor to assess agency operating efficiency and effectiveness	Retain for 7 years after audit		Archive
<b>Committees</b>			
Records of developing & establishing terms of reference for executive committees	Life of committee.[JISC guidelines]		Archive
Records of the appointment of committee members	End of appointment +5 years. [JISC guidelines].		Archive
Meeting attendance register	Current year +1 year		Destroy
Calendar of meetings	Current year + 1 year		Destroy
Records of committee members' training & development	Current year +4 years. [JISC guidelines].		Destroy

## Proposed Records Retention Schedules Wits University

Records of sub-committees, ad hoc committees and/or working parties, etc. <ul style="list-style-type: none"> <li>• Agendas</li> <li>• Minutes</li> <li>• Membership Lists</li> <li>• Reports and decisions</li> </ul>	Current year + 6 years		Archive
A record of actions and decisions of committees that are not sponsored by the Wits University but have Wits University representation because the work of the committee may affect the Wits University. Includes minutes, agendas, notes, reports, etc. Does not include professional organizations.	Current year+6 years		Review archival value
Records of organising committee meetings	Current year +1 year. [JISC guidelines].		Destroy
Records of the conduct & proceedings of committees records include master set of meeting papers; - Agenda, associated reports and other documentation and signed minutes.	Current year +6 years.		Archive
<p><b>Contracts &amp; Agreements Management</b></p> <p>The activities involved in managing the legal aspects of negotiating, establishing, maintaining and reviewing contracts and agreements</p>			
Records of legal support for negotiating, establishing and reviewing substantive contracts and agreements with third parties: i.e. substantive agreements and contracts under seal.	End of contract +12 years.		Review for archival value
Records of legal support for negotiating, establishing and reviewing contracts and agreements with others: other contracts and agreements	End of contract +6 years.		Review for archival value

## Proposed Records Retention Schedules Wits University

<p><b>Council management</b> Activities involved in recording and administering the work of the University Council.</p>			
Records of appointments	End of membership +6 years.		Archive
Records of providing training & development for members of council	Current year +4 years.		Destroy
Records of organising meetings of council.	Current year +1 years. [JISC guidelines].		Destroy
Records of the conduct & proceedings of council master set of meeting papers; - agenda; - constitution or terms of reference; and - signed minutes.	Current year +6 years.		Archive
A record of actions and decisions of councils that are not sponsored by the Wits University but have Wits University representation because the work of the committee may affect the Wits University. Includes minutes, agendas, notes, reports, etc. Does not include professional organizations.	Current year+6 years		Review archival value
<p><b>Elections</b> The activity of conducting ballots for the purpose of electing members of councils, the university senate and significant committees in accordance with the university act.</p>			
Records relating to the conduct of the election	Retain 3 months after declaration of election result or appointment		Destroy
<b>Electoral Rolls</b> The rolls of individuals eligible to vote	Retain 3 months after declaration of election result		Destroy

Proposed Records Retention Schedules Wits University

<p><b>Results</b> Election results.</p>	<p>Retain for 5 years after declaration of election result</p>		<p>Destroy</p>
<p><b>Legal Management</b></p>			
<p>The activity of providing legal services to the University. Includes the interpretation and provision of advice to the University regarding legal matters, the drawing up of legal agreements and the handling of legal action and disputes</p>			
<p>Code of conduct - development Records relating to the development of the agency's code of conduct.</p>	<p>Retain for 10 years after last action.</p>		<p>Review for archival value</p>
<p>Government-wide policies Records relating to the implementation of government-wide policies concerning major programs and initiatives.</p>	<p>Retain for 10 years after last action</p>		<p>Archive</p>
<p>Standards Records related to the implementation of practices and procedures based on standards.</p>	<p>Retain for 3 years after last action</p>		<p>Archive</p>
<p>Legislation Proposals for new legislation and amendments to existing legislation administered by agency (includes Acts, Regulations etc.), together with summary records of consultations and discussions, explanatory notes, drafts which document significant amendments, submissions and supporting documentation.</p>	<p>Permanent Retain permanently</p>		<p>Archive</p>
<p>Copies of legislation kept for reference purposes.</p>	<p>Retain until reference ceases.</p>		<p>Destroy</p>

## Proposed Records Retention Schedules Wits University

<p>Legal Claims Management</p> <p>Records of provision of legal support &amp; representation in dealing with claims by or against the University which do not proceed to litigation or settlement by an agreement</p>	<p>Settlement OR withdrawal of claim +6 years</p>		<p>Review for archival value</p>
<p><b>Legal Advice</b></p> <p>Records of legal advice requested by &amp; provided to Wits University</p>	<p>Life of the University JISC guidelines</p>		<p>Archive</p>
<p>concerning:</p> <ul style="list-style-type: none"> <li>• Interpretation of legislation affecting the University's legal framework, governance;</li> <li>• responsibilities or operations</li> <li>• proposals for new legislation affecting the University's legal framework, governance, responsibilities or operations relationships with government bodies and Higher Education regulators</li> <li>• industrial relation issues</li> </ul>			
<p><b>Litigation Management</b></p>			
<p>Records of litigation with third parties where legal precedents affecting the University were set.</p>	<p>Life of the University.</p>		<p>Archive</p>
<p>Records of litigation with third parties where legal precedents were not set</p>	<p>Settlement of case +6 years.</p>		<p>Review for archival value</p>
<p><b>Organisational Development</b></p> <p>The range of activities associated with developing the Wits University's organisational structure and culture.</p>			

Proposed Records Retention Schedules Wits University

<p><b>Organizational Restructuring</b> Records of managing individual organizational restructuring processes.</p>	<p>Completion of process + 5 years JISC guidelines</p>		<p>Archive</p>
<p><b>Corporate Planning and Management</b> The range of activities relating to developing and establishing the Wits University's corporate plans and of monitoring its performance against these plans</p>			
<p><b>Strategic plans – final</b> Final version of agency-wide strategic or corporate plans.</p>	<p>Retain permanently.</p>		<p>Archive</p>
<p><b>Strategic plans – development</b> Records relating to the development of strategic plans.</p>	<p>Retain for 3 years after last action</p>		<p>Destroy</p>
<p><b>Operational plans – development</b> Records relating to the development of operational plans.</p>	<p>Retain for 3 years after last action.</p>		<p>Destroy</p>
<p><b>Operational plans – final</b> Final version of operational plans and unit level work plans.</p>	<p>Retain for 5 years after plan is superseded</p>		<p>Archive</p>
<p><b>Business development plans – final</b> Business plan for agency commercialisation.</p>	<p>Retain for 10 years after last action.</p>		<p>Archive</p>
<p>Business development opportunities Records relating to business development opportunities under consideration by the agency. Includes proposals which do not go ahead.</p>	<p>Retain for 10 years after last action.</p>		<p>Destroy</p>
<p><b>Quality Management</b> The range of activities supporting quality management systems within Wits University.</p>			

## Proposed Records Retention Schedules Wits University

Quality Audit Records of the conduct and results of quality audits, and action taken to address issues raised	Completion of audit +3 years. [JISC guidelines].		Archive
Quality Management Scheme Accreditation Management Records of attaining & maintaining accreditation under established independent quality management schemes	End of accreditation +1 year. [JISC guidelines].		Archive
Reviewing			
Records relating to major reviews of functions and activities resulting in changes in policy or procedures.	Permanent Retain permanently.		Archive
Records relating to other reviews of functions and activities. <b>See - FINANCIAL MANAGEMENT</b> for records of financial audits.	Retain for 10 years after last action		Archive
<b>Risk Management</b> The activities involved in managing identified risks to the viability or success of the University.			
Risk Identification & Assessment Records of identifying risks & assessing those risks.	Superseded +3 years Internal guidelines.		Archive
Business Continuity Planning Records of formulating, testing & maintaining disaster response & recovery plans	Superseded +3 year Internal guidelines.		Archive
<b>Rules And Statutes</b> The activities involved in establishing and, where appropriate, changing the legal status of the institution			
Approved rules and statutes.	Retain permanently		Archive

Proposed Records Retention Schedules Wits University

<p><b>Development</b> Records relating to making and amending of rules and statutes including formal consultation and submissions, and developmental drafts and correspondence which authorise further stages of development.</p>	<p>Retain for 5 years after last action.</p>		<p>Destroy</p>
<p><b>Supporting documentation</b> Working papers and research material used in the preparation of drafts</p>	<p>Retain for 6 months after last action.</p>		<p>Destroy</p>
	<p><b>University Companies Management</b> The function of managing companies operated &amp; managed wholly or partially by the University.</p>		
<p><b>Company Proposal Development</b> Records of developing &amp; evaluating a proposal to form a company where a decision is made to proceed</p>	<p>Life of company +10 years. [JISC guidelines].</p>		<p>Archive</p>
<p>Records of developing &amp; evaluating a proposal to form a company where a decision is made not to proceed</p>	<p>Last action on proposal +5 years. [JISC guidelines].</p>		<p>Archive</p>
<p><b>Company Formation</b> Records of forming a related company</p>	<p>Life of company +10 years. [JISC guidelines].</p>		<p>Archive</p>
<p><b>Company Management</b> Records of action to ensure that a related company is conducting business in line with established agreements &amp; company law</p>	<p>Current year +5 years. [JISC guidelines].</p>		<p>Archive</p>
<p><b>Company Review</b> Records of the conduct &amp; results of regular reviews (including internal &amp; external audits) of a company's performance against</p>	<p>Current year +5 years. [JISC guidelines].</p>		<p>Destroy</p>
<p>Records of action taken to ensure that a company has proper operating procedures in place, &amp; that they are being implemented</p>	<p>Current year +5 years. [JISC guidelines].</p>		<p>Destroy</p>

## Proposed Records Retention Schedules Wits University

Annual report & accounts of a company	Life of company +10 years. [JISC guidelines].		Archive
<b>Company Disposal</b> Records of the disposal of a company (or University's interest in it) by winding up or sale	Disposal +10 years. [JISC guidelines].		Archive

	<b>HUMAN RESOURCES MANAGEMENT</b>		
	<p>The function of administering personnel services to attract, retain, diversify and develop to human resources to enable WITS UNIVERISTY to realise its vision and achieve its strategic goals. . Listed below are the activities and sub-activities that are performed under this function.</p> <p><i>In order to reduce duplication it should be noted that departments should not keep copies of the records which are held centrally by Human Resources e.g. information relating to health issues/Occupational Health Service referrals, any information relating to grievance/disciplinary proceedings. Copies of recruitment application forms, copies of references and information in relation to industrial action</i></p>		
	<b>Planning</b>		
Records of the assessment & analysis of workforce requirements, & the identification & evaluation of options for meeting these requirements	Current year +3 years.		Archive
Management succession plans	Superseded +5 years.		Archive
Records of developing & evaluating job specifications	Superseded +5 years.		Destroy
	<b>Recruitment</b>		
Records of internal authorisation for recruitment	Forms part of the personal file held by HR.		Destroy
Records of the advertising of vacancies	End of recruitment process.		Destroy

## Proposed Records Retention Schedules Wits University

Enquiries about vacancies & requests for application forms	End of recruitment process.		Destroy
Records of the handling of applications for vacancies: unsuccessful applications	End of recruitment process: 6months for Support Staff vacancies & 12 months for Academic & Related Vacancies.		Destroy
Records of the handling of applications for vacancies: successful applications	Forms part of the personal file held by HR.		Archive
Records of summary statistical information about job applicants e.g. ethnicity/gender analyses	Current year +5 years.		Destroy
Records of management analyses of recruitment effectiveness e.g. use of advertising media	Current year +1 year.		Destroy
Unsolicited applications for employment	End of recruitment process.		Destroy
<b>Induction</b>			
Records of the development, overall delivery & assessment of induction programmes for new employees.	Current year +5 years.		Destroy
Records of administering induction programmes	Completion or end of programme +1 year.		Destroy
<b>Training &amp; Development</b>			
Records of summary information on workforce training & development needs	Current year +5 years.		Destroy
Records of developing training & development programmes to meet defined needs	Completion of programme +5 years.		Destroy
Individual feedback on training & development programmes	Completion of analysis of feedback.		Destroy
Records of (anonymised) workforce feedback on training & development	Current year +5 years.		Destroy

## Proposed Records Retention Schedules Wits University

Records of management analyses of the impact of training & development programmes	Current year +5 years.		Destroy
<b>Performance Management</b>			
Records of developing workforce performance assessment systems	Life of system +5 years.		Archive
Records of summary (anonymised) results of employees' performance	Current year +3 years.		Archive
Records of management analyses of the impact of workforce performance assessment systems	Current year +5 years.		Archive
<b>Remuneration &amp; Reward Management</b>			
Records of developing the remuneration structure	Current year +10 years.		Archive
Records of pay audits	Current year +5 years.		Archive
Records of special reward schemes e.g. merit reviews	End of scheme +5 years.		Archive
<b>Health and Safety Management</b>			
Records of developing workforce welfare schemes & services e.g. occupational health services	Current year +5 years.		Archive
Records of monitoring hours worked by employees, as required by the regulations cited	Date of record +2 years.		Destroy
<b>Staff Relations Management</b>			
Records of the design of workforce surveys & consultations	Completion of survey/consultation +5 years.		Archive
Identifiable individual responses to workforce surveys & consultations	Completion of analysis of responses +1 year.		Destroy
Records of summary (anonymised) results of workforce surveys & consultations	Completion of survey +5 years.		Destroy

## Proposed Records Retention Schedules Wits University

Records of grievances raised by staff (which do not relate directly to their own contracts of employment), the official response, action taken & the outcome	Last action on case +6 years.		Destroy
<p><b>PERSONNEL FILES</b></p> <p>The activity of recording the employment history of university staff for the purpose of determining entitlements.</p> <p>Information included in personnel files includes, but is not limited to:</p> <ul style="list-style-type: none"> <li>• successful position applications;</li> <li>• offer and acceptance of appointment;</li> <li>• workplace agreements;</li> <li>• correspondence relating to higher duties, allowances, loadings, and non-routine leave;</li> <li>• advice provided to employee on employment conditions;</li> <li>• superannuation advice; and</li> <li>• - resignation/retirement correspondence</li> </ul>			
	<p><b>Staff Contract Management</b></p> <p>The activities involved in managing the Wits University's contractual relationships with individual employees.</p>		
Records of an employee's initial application for employment	End of employment +6 years.		Archive
Supporting documentation (e.g. references) for an employee's initial application	Forms part of the personal file held by HR.		Destroy
Records of an employee's subsequent applications for other jobs internally	<p>If successful, forms part of the personal file held by HR.</p> <p>If unsuccessful: 6 months for Support Staff vacancies and 12 months for Academic &amp; Related Vacancies.</p>		Destroy
Records of an employee's contract of employment	End of employment +6 years.		Archive

## Proposed Records Retention Schedules Wits University

Job descriptions of positions held by an employee	Forms part of the personal file held by HR.		Archive
Records of routine assessments of an employee's performance, & any consequent action taken	Superseded +3 years.		Destroy
Records of disciplinary proceedings against an employee, where employment continues	End of employment +6 years.		Archive
Records of grievances raised by an employee which relate directly to his/her own contract of employment, the official response, action taken & the outcome	End of employment +6 years.		Destroy
Records of an employee's remuneration & rewards (e.g. bonuses, merit awards, long service awards)	Forms part of the personal file held by HR.		Destroy
Records of administering an employee's contractual holiday entitlement	Current year +1 year.		Destroy
Records of an employee's absence due to sickness	End of employment +40 years.		Destroy
Records of authorizing & administering special leave e.g. compassionate leave, study leave	Forms part of the personal file held by HR.		Archive
Records of authorizing & administering statutory leave entitlements, e.g. parental leave	Forms part of the personal file held by HR.		Archive
Records of entitlements to & calculations of Statutory Maternity Pay	Current Taxation Year +3 years.		Destroy
Records of an employee's basic personal details (e.g. address, next of kin, emergency contacts)	Forms part of the personal file held by HR.		Destroy
Records of pre-employment health screening of an employee: employees exposed to hazardous substances during employment	End of employment +40 years.		Destroy
Records of pre-employment health screening of an employee: other	End of employment +6 years.		Destroy
Records of the issue of personal protective equipment/other special equipment to an employee	End of employment +6.		Destroy

## Proposed Records Retention Schedules Wits University

Records of major injuries to an employee arising from accidents in the workplace	End of employment +40 years.		Archive
Records of an employee's termination of employment by voluntary resignation, redundancy, retirement (including on medical grounds) or dismissal	Forms part of the personal file held by HR.		Archive
References provided in confidence in support of an employee's application(s) for employment by another organization	Forms part of the personal file held by HR.		Destroy
	<b>Industrial Relations Management</b>		
Records of the University's recognition/de-recognition of trades unions	(De) recognition +20 years.		Archive
Records of agreements with trades unions	End of agreement +20 years.		Archive
Records of routine communications with trade union representatives, including minutes of meetings	Current year +20 years.		Archive
Records of participation in inspections undertaken by copyright owners or their representatives to check compliance with legal & contractual provisions	Last action on inspection +1 year.		Destroy
	<b>Staff Training and development</b>		
Records of induction programmes attended by an employee	Completion of induction +1 year.		Destroy
Records of an employee's identified training & development needs, & the action taken to meet those needs	Completion of action +5 years.		Destroy
Records of job-specific statutory/ regulatory training requirements for an employee, & the training provided to meet those requirements	Expiry of certification OR superseded +6 years.		Destroy

<b>INFORMATION AND COMMUNICATION TECHNOLOGY SERVICES</b>			
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.			
<b>Customer Services</b>			
The activities associated with the planning, monitoring and evaluation of services provided to customers by the University			
User requests for technical & application support & assistance provided	Last action on request + 1 year.		Destroy
<b>ICT Systems Installation and Development</b>			
Initial development of ICT systems which are not implemented	Last action on development + 5 years.		Destroy
Management of ICT systems development projects (i.e. project management records).	Termination of project + 5 years.		Destroy
<b>ICTS Maintenance</b>			
Initial development & post implementation modification & maintenance of ICT systems. Includes: component maintenance records, computer equipment inventories, failure logs, hardware performance reports, invoices (copies), maintenance contracts (copies), warranties, etc.	Decommissioning of system + 5 Years.		Destroy
<b>ICT Systems Operations Management</b>			

## Proposed Records Retention Schedules Wits University

Routine monitoring and testing of the operation of ICT systems, & action taken to rectify problems & optimise performance	Current year +1 year.		Destroy
Faults reported by users of ICT systems, & actions taken to rectify problems & optimise performance	Last action on fault + 1 year.		Destroy
	<b>Data Management</b>		
Management of system data storage, including the operation of routine data backup, archiving & deletion routines	Current year +1 year.		Destroy
User requests to recover data from backup or archive stores, & action taken	Last action on request + 3 months.		Destroy
	<b>ICT Systems Security Management</b>		
Security arrangements for ICT systems	Decommissioning of system + 5 Years		Destroy
Opening, maintenance and closure of user accounts for ICT systems	Closure of account + 1 year.		Destroy
Routine monitoring of the use of ICT systems to ensure compliance with legal requirements and institutional policies.	Current year + 1 year.		Destroy
Attempted or actual security breaches of ICT systems & action taken	Last action on incident + 1 year.		Archive
Requests for, & authorisation of, connections of third party equipment to the University's networks.	Termination of connection + 1 year.		Destroy
Removal / return of mobile ICT systems hardware & software from / to the University's premises	Return of equipment + 3 months.		Destroy
Arrangements for the sanitisation of institutional ICT equipment prior to disposal	Disposal of equipment + 1 year.		Destroy
	<b>ICT Systems Training</b>		
Development of technical & application training for ICT system users	Superseded + 1 year.		Destroy

	<b>INFORMATION MANAGEMENT</b>		
	Function responsible for the acquisition or compilation, management, preservation and conservation and dissemination of information on collections, publications generated by the staff of the WITS UNIVERISTY, as well as the acquisition of information from other Institutions and published sources,		
	<b>Archives Management</b>		
Records of developing & establishing selection criteria for records to be preserved as archives	Life of archives.		Archive
Records of the appraisal, selection & acquisition of records for preservation as institutional archives	Life of archives.		Archive
Records of the accessioning of records acquired for preservation as archives	Life of archives.		Archive
Records of the scheme of arrangement for the archives	Life of records arranged according to the scheme.		Archive
Records of developing the standard descriptive model for the archives	Life of records described using this Scheme.		Archive
Records of the arrangement & contents of institutional archives	Life of records.		Archive
Records of monitoring & control of the storage of archives	Current year +1 year.		Archive
Records of conservation work undertaken on items in the archives	Life of records.		Archive

## Proposed Records Retention Schedules Wits University

Records of requests for access to items in the archives & the responses	Last action on request +1 year.		Destroy
Records of the movement of items from/to storage	Return of items +1 year.		Destroy
Records of developing & maintaining specialised finding aids to promote & facilitate access to items in the archives	While current.		Archive
Records of the design & distribution of promotional materials to raise awareness & encourage use of items in the archives	While current.		Archive
Enquiries about items in the archives & the responses provided	Last action on enquiry +1 year.		Archive
Records of the selection & use of items from the archives by staff for teaching, events, publication, etc.	Last action on project +5 years.		Archive
Records of loans of items from the archives to third parties	End of loan +6 years.		Archive
Records of authorisation for the disposal of de-accessioned records	Life of archives.		Archive
	<p><b>Collections Management</b> The function of managing the institution's collections of artworks, artefacts and manuscripts</p>		
	<p><b>Access</b> The activities associated with access to and use of the collection according to formulated policy</p>		
<p><b>Access and use</b> Records relating to access and use of collections. Includes applications for access, access conditions and registers of access.</p>	Retain for 6 months after last action.		Destroy
	<p><b>Acquisition</b> The activities associated with the process of gaining ownership of the collection. Includes the establishment, maintenance, review and</p>		

Proposed Records Retention Schedules Wits University

<p><b>Gifts and Bequests</b> Records relating to gifts and bequests which are part of collections, including the terms and conditions.</p>	<p>Permanent Retain permanently by the university.</p>		<p>Archive</p>
<p><b>Purchasing</b> Records relating to purchase, negotiations and arrangements.</p>	<p>Retain permanently by the university.</p>		<p>Archive</p>
	<p><b>Cataloguing</b> The activities associated with registering and describing objects within the collection.</p>		
<p><b>Registration of collection</b> Records relating to registering the collection through establishing and maintaining physical and intellectual controls. Includes catalogues, inventories, electronic control systems, indexes and registers.</p>	<p>Retain permanently by the University.</p>		<p>Archive</p>
	<p><b>Preservation</b> The activities involved in the preservation, protection, maintenance, restoration and enhancement of property, information resources and</p>		
<p><b>Environmental monitoring and control</b> Records relating to monitoring and control of conditions of the exhibitions and storage spaces. Includes activities such as temperature, pest and humidity control and monitoring.</p>	<p>Retain for 10 years after last action.</p>		<p>Destroy</p>
<p><b>Maintenance and storage</b> Records relating to maintenance and storage of items in a collection.</p>	<p>Retain for 5 years after disposal of item.</p>		<p>Destroy</p>
<p><b>Restoration and conservation</b> Records relating to restoration and conservation of objects within the collection.</p>	<p>Retain until disposal of item.</p>		<p>Destroy</p>

Proposed Records Retention Schedules Wits University

<p><b>Disposal of items in collection</b> Records relating to the sale, transfer, auction, destruction or repatriation of a collection or items within a collection.</p>	Retain permanently		Archive
	<p><b>Exhibitions</b> The activities associated with using items or collections in displays for the purpose of informing or educating the viewer, or promulgating the activities, services, projects or programs of the university.</p>		
<p><b>Curating an exhibit</b> Records relating to curating including invitations to exhibit, liaison with donors and/or lenders, and opening of displays</p>	Retain for 5 years of last action		Destroy
	<p><b>Loans</b> The activities involved in granting use of items of the collection and the borrowing of items by the university. Includes the formal documentation setting out conditions, rights and responsibilities of both parties</p>		
<p><b>Loan in arrangements</b> The lending of items to the university for use. Records relating to loan arrangements including legal contracts</p>	Retain for 13 years after contract expires and last action		Destroy
<p><b>Loans - Out</b> The lending of items, which are owned by the university, to other institutions/organisations</p>	Retain for 13 years after contract expires and last action		Destroy
	<p><b>Publications Management</b> The function of managing the institution's collections of publications acquired or assembled to support its work. Also includes multi-media publications, CD ROMs, DVDs and online information services</p>		
Agency style manuals.	Retain until superseded.		Destroy

Proposed Records Retention Schedules Wits University

	<b>Distribution</b>		
Records relating to the distribution of agency publications, including inventories.	Retain for 5 years after last action.		Destroy
	<b>Drafting</b>		
Records documenting the drafting process of agency publications (including annual reports).	Retain until reference ceases.		Destroy
	<b>Production</b>		
Arrangements for design, art work, printing, copying, binding and similar, include file copies of relevant quotes and orders, etc.	Temporary Retain for 5 years after last action.		Destroy
<b>External publications - master</b> Publications and material published by the agency to the general public required for Legal Deposit. Includes Annual Reports, newsletters, pamphlets, magazines, journals, maps, plans, charts; also non-print material such as audio tapes, video recordings, films, disks, microfilms or microfiche.	Permanent two copies send to the Archives.		Archive
<b>External publications - agency contributions</b> Significant articles contributed to journals, magazines, newspapers, etc., about the agency or functions.	Retain for 10 years after last action.		Archive
<b>External and internal publications – agency copies</b> Copies of the agency’s external and internal publications.	Retain until reference ceases.		Destroy
Internal publications - master Master copy of internal agency publications.	Retain for 5 years after last action.		Destroy
Records of ordering publications for purchase	Current Financial Year + 5 years*.		Destroy
Records of schemes for classifying & cataloguing publications	While current.		Destroy
Catalogues/indexes	While current.		Archive
Records of the monitoring & control of storage conditions	Current year +1 year.		Archive

## Proposed Records Retention Schedules Wits University

Records of conservation work undertaken on publications	Life of items.		Archive
Records of decisions to dis/continue purchase of publications	Last action on issue +3 years.		Destroy
Records of the authorisation for the disposal of redundant publications	Disposal of publications +1 year.		Archive
	<b>Records Management</b>		
Classification & indexing schemes for records	Superseded +5 years.		Archive
Records of monitoring & control of the storage of records	Current year +1 year.		Archive
Records of the movement of records from/to storage	Return of records +1 year.		Destroy
Records of determining retention periods for records	Superseded +6 years.		Destroy
Final versions of record retention schedules	Life of University.		Archive
Records of the review of individual records to determine requirements for on-going retention	Life of records +6 years.		Destroy
Records of conservation work undertaken on records	Life records.		Archive
Records of authorisation for the disposal of redundant business records	Life of records +6 years.		Destroy
Records of the transfer of records to Special Collections where this is required by established records retention schedules	Completion of transfer +1 year.		Archive

	<p><b>INSTITUTIONAL ADVANCEMENT</b></p> <p>The function of establishing a relationship with the community and raising and maintaining the broad public profile of WITS UNIVERISTY.</p> <p>It includes relationships with government, community and other institutions.</p>		
	<p><b>Alumni and Convocation</b></p> <p>The activity of maintaining lists of graduates and other affiliates for the fundraising and general communication purposes.</p>		
Member details Records relating to notification of member detail changes, for example change of address.	Retain for 6 months after last action.		Destroy
Member register Register of alumni and convocation details.	Retain for 6 months after last action.		Archive
	<p><b>Community Programs</b></p> <p>The activities associated with running programs which benefit the broader community. Includes adult education programs such as fitness, health, well-being, behavioral, art, language and special interest programs. Excludes non award courses.</p>		
Community programs Records relating to community programs. Records include, but are not limited to, Program curricula, attendance records and program marketing materials.	Retain for 1 year after last action.		Review for archival value
	<p><b>Fund Raising Campaigns</b></p>		
Fund raising Records relating to fund raising campaigns.	Retain for 5 years after campaign ends.		Review for archival value

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<p><b>Liaison</b></p> <p>The activities associated with maintaining contact between the university and external bodies, including professional associations, professionals in related fields, other universities, private sector organisations, community groups, student representative bodies, student unions and similar groups. Includes sharing advice and discussions and membership of professional organisations. Includes memoranda of understanding.</p>			
<p><b>Agreements - Dated</b></p> <p>Records relating to agreements to establish relationships with entities external to the university (e.g. agreements with other universities both within South Africa and overseas), which are dated.</p>	<p>Retain for 7 years after expiry or cancellation of agreement or 12 years after expiry or cancellation if signed under seal.</p>		<p>Review for archival value</p>
<p><b>Agreements - Undated</b></p> <p>Records relating to agreements to establish relationships with entities external to the university (e.g. agreements with other universities both within south Africa and overseas), which are undated.</p>	<p>Retain for 25 years from date registered.</p>		<p>Archive</p>
<p><b>Appointment of members</b></p> <p>Records relating to appointment of members to committees etc., controlled by an external body.</p>	<p>Retain for 2 years after appointment ceases.</p>		<p>Review for archival value</p>
<p><b>Memoranda of understanding - Dated</b></p> <p>Records relating to Memoranda of Understanding to establish relationships with entities external to the university (e.g. Agreements with other universities both within South Africa and overseas), which are dated.</p>	<p>Retain for 7 years after expiry or cancellation of memoranda.</p>		<p>Review for archival value</p>
<p><b>Memoranda of understanding - Undated</b></p> <p>Records relating to Memoranda of Understanding to establish relationships with entities external to the university (e.g. Agreements with other universities both within South Africa and overseas), which are undated.</p>	<p>Retain for 25 years from date registered.</p>		<p>Archive</p>

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	<p><b>Public Lectures and Conferences</b></p> <p>The activities associated with organising and presenting lectures or seminars, which are outside the teaching curriculum and can be attended by members of the community.</p>		
<p>Organisation</p> <p>Records relating to organising lectures. Includes annual program and invitations to speak.</p>	Retain for 2 years after last action.		Destroy
<p>Transcripts</p> <p>Transcripts of lectures.</p>	Retain permanently.		Archive
	<p><b>Community Relations Management</b></p> <p>The function of establishing connection with the community and raising and maintaining the organisation's broad public profile. The range of activities associated with managing and establishing the WITS UNIVERSITY's relationship with its local community and raising and maintaining the</p>		
<p>Public Communication Management</p> <p>Enquiries or feedback from members of the public &amp; the responses provided</p>	Last action on enquiry +1 year [JISC guidelines]		Archive
<p>Records of the design &amp; conduct of surveys to assess public attitudes towards the University</p>	Completion of survey +3 years. [JISC guidelines].		Archive
<p>Results of public surveys: individual responses</p>	Completion of analysis of survey responses. [JISC guidelines].		Destroy
<p>Complaints from members of the public, the internal handling of those complaints &amp; the responses provided</p>	Last action on complaint + 1 year. [JISC guidelines].		Weed & Archive
<p>Public Relations Event Management</p> <p>Records of the planning, administration &amp; impact/results of public events</p>	Completion of event +3 years. [JISC guidelines].		Destroy

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Corporate Identity & Brand Management Records of the design of WITS UNIVERISTY's corporate identity marks (logos etc.)	While current. [JISC guidelines].		Archive
Sponsorship Management Records of negotiating corporate sponsorship of public events by WITS UNIVERISTY.	End of sponsor relationship +5 years [JISC guidelines] *		Archive
Donations Records of managing relationships with donors to University of the Witwatersrand (other than in response to fundraising campaigns)	Duration of relationship +6 years.		Archive
Records of the process of making donations to third parties	Last action on donation +6 years.		Archive
Honorary Award Management Nominations for honorary awards & decisions made on individual nominations	Current academic year +10 years [JISC guidelines]		Archive
	<p><b>Media Relations Management</b> The activity of managing the institution's contacts and relationships with the media.</p>		
Media Communication Management Records of media contacts. Records of the planning & organisation of media briefings & interviews	Last action on briefing +1 year. [JISC guidelines]		Destroy
Transcripts of media briefings & interviews	Last action on briefing +1 year. [JISC guidelines].		Destroy
Press releases	Issue +5 years JISC guidelines		Archive
Media enquiries, the handling of these enquiries & responses provided	Last action on enquiry +5 years. [JISC guidelines].		Destroy

Proposed Records Retention Schedules Wits University

Records of monitoring & analysing media coverage e.g. press cuttings	Creation +5 years. [JISC guidelines].		Archive
	<p><b>Visits</b>                  The activities involved with arranging and facilitating the visits to university premises by individuals or groups from external organisations</p>		
External visitors Records relating to the arrangements for visits by external visitors.	Retain for 1 year after last action.		Destroy

<p><b>OPERATIONAL MANAGEMENT</b></p> <p>The function of managing the operational units of the university. <i>For the whole of university level see Governance and Strategic Management.</i></p>			
<p><b><u>Committees</u></b></p> <p>Records of recording and administering the work of the operational units. Activities include appointing and electing members, arranging meetings, preparing agendas and supporting papers, recording minutes. <i>For committees reporting to Council see Governance and Strategic Management.</i></p>	Current year + 6 years		Archive
<p><b>Management meetings</b></p> <p>Documentation that provides and official record of all management team meetings</p>	Retain 6 years after last action		Archive
<p><b>Staff Meetings</b></p> <p>Includes agendas, minutes and procedures relating to the convening and conducting of meetings of staff, supervisors, department heads, etc.</p>	Current year + 6 years		Archive
<p><b>Working Parties and Groups(operational)</b></p> <p>Activities involved in recording and administering the work of the operational unit working parties and groups. Activities include appointing and electing members, arranging meetings, preparing agendas and supporting papers, recording minutes</p>	Retain 1 year after last action		Review for archival value

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	<b>RESEARCH AND DEVELOPMENT</b>		
	The function involved in investigating or enquiring into a subject or area of interest in order to discover facts, principles including knowledge. Listed below are the activities and sub-activities that are performed under this function.		
	<b>Research Quality &amp; Standards Management</b>		
Records of developing internal quality assurance processes	While current.		Archive
Records of the conduct & results of formal internal & external reviews of research quality & standards, & responses to the results.	Current Academic Year +10 years.		Archive
	<b>Research Business Development</b>		
Records of liaison with research sponsors to monitor their research policies & to promote the University's capabilities	Current Academic Year +5 years.		Destroy
Records of identifying & exploring new research opportunities which lead to research projects.	Completion of project.		Archive
Records of identifying & exploring new research opportunities which do not lead to research projects	Last action +5 years.		Destroy
Records of forming & managing partnerships & other collaborative arrangements to undertake research	Life of partnership/ arrangement +5 years.		Archive
	<b>Research Project Development</b>		
Records of the design of research projects & the preparation of formal research project proposals which lead to research projects	Completion of project +5 years.		Archive
Records of the design of research projects & the preparation of formal research project proposals which do <b>not</b> lead to research projects	Last action +5 years.		Archive

## Proposed Records Retention Schedules Wits University

<b>Research Project Conduct</b>			
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:			
<ul style="list-style-type: none"> <li>· the legal &amp; regulatory framework for particular types of research</li> <li>· the terms &amp; conditions imposed by external research sponsors</li> </ul>			
Records of the design of research projects & the preparation of formal research project proposals which do <b>not</b> lead to research projects.	Last action +5 years.		Archive
Final reports of all research projects	Completion of project +5 years [JISC guidelines]		Archive
<b>Research Project Management</b>			
Records of the management of internally <i>and/or</i> externally funded research projects.	Completion of project +6 years.		Destroy
Final reports of all research projects	Completion of project +5 years.		Archive
<b>Research Dissemination</b>			
Records of announcements of research results other than in publications or through the media.	Issue of announcement +1 year.		Destroy
Records of the preparation of publications, audio-visual presentations, demonstrations or other means of disseminating research results	Publication/ Delivery +1 year.		Destroy
Final versions of publications, presentations etc.	Publication / Delivery +3 years.		Archive
Research Programme Development Records of developing research programmes	Life of programme +10 years [JISC guidelines]		Archive

Proposed Records Retention Schedules Wits University

Records of routine monitoring of external developments & trends to inform the development of research programmes	Current Academic Year +1 year [JISC guidelines ]		Destroy
<b>Research Programme Review</b>			
Records of data on & analyses of student numbers & other programme statistics	Current Academic Year +3 years [JISC guidelines]		Archive
Reports of routine internal or formal independent reviews of research programmes & the responses to the results	Current Academic Year +5 years [JISC guidelines]		Archive
<p><b>Intellectual property</b></p> <p>The activities involved in managing the university’s intellectual property, both published and unpublished, and the use of intellectual property owned by another party. Includes the management of knowledge, copyright, design, patents and trademarks, royalties and matters of confidentiality.</p> <p>Includes intellectual property registered or not, for example patents, licences, copyright, trademarks, designs, trade secrets.</p>			
Correspondences General administrative correspondence relating to intellectual property management. Includes unsuccessful applications for grant or registration of intellectual property, supporting information, searches, and correspondence between officers internally or between solicitors/attorneys.	Retain for 5 years after last action.		Destroy
Arrangements for use Records relating to the arrangements for the use of intellectual property. Includes correspondence between licensors and licensees, agreements and material or product transfer.	Retain for 7 years after expiry or cancellation of agreement.		Destroy

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<p>Infringements and disputes</p> <p>Records relating to infringements and disputes concerning intellectual property. Includes notification of disputes, mediation, agreement and outcome.</p>	<p>Retain for 10 years after last action.</p>		<p>Review for archival value</p>
<p>Registration</p> <p>Records relating to the grant or registration of intellectual property. Records include:</p> <ul style="list-style-type: none"> <li>- applications for grant or registration;</li> <li>- formal assignment of intellectual property;</li> <li>- request form, specification, patent - provisional or complete;</li> <li>- request for examination;</li> <li>- acceptance;</li> <li>- objection – statement, hearings;</li> <li>- extensions for registration;</li> <li>- renewal; and</li> <li>- supporting documents; and</li> <li>- Final documents e.g. the sealed patent, licence.</li> </ul>	<p>Retain permanently.</p>		<p>Archive</p>

	<p><b>STUDENT ADMINISTRATION</b></p> <p>The function of administration and management of students from application for admission to course or program to completion or discontinuation. Includes non-award programs and courses/units/subjects.</p>		
<b>Description of records</b>	<b>Disposal Period</b>		<b>Action</b>
	<p><b>Admission</b></p> <p>The process associated with the admission of applicants into courses or programs.</p>		
<p>Admission – successful</p> <p>Records relating to a successful application for entry into a course or program of study, including applications, offers of places, references, supporting documents, prior results, immigration clearances, interviews, selection tests, auditions, acceptances, deferrals, etc.</p>	<p>The electronic record is kept for 3 years and then <b>archived</b>. The paper copies are kept for the duration of their studies, plus one year after graduation.</p>		<p>Destroy</p>
<p>Admission – unsuccessful</p> <p>Records relating to unsuccessful applications for admission. Includes rejected offers.</p>	<p>Retain for 6 months after applicant notified of outcome and conclusion of any appeals process.</p>		<p>Destroy</p>
<p>Offers</p> <p>Records relating to number of offers of places in programs/courses</p>	<p>Retain for 3 years after census date.</p>		<p>Archive</p>
<p>Selection methodology</p> <p>Selection methodology for admissions purposes.</p>	<p>Retain for 1 year after last action.</p>		<p>Destroy</p>
	<p><b>Calendars and Handbooks</b></p> <p>The activity of developing guides to programs and courses and other information regarding the university.</p>		

Proposed Records Retention Schedules Wits University

<p>Duplicate sets Duplicates of calendar and handbook publications.</p>	<p>Retain until reference ceases.</p>		<p>Destroy</p>
<p>Master set Master set of calendar and handbook publications.</p>	<p>Retain permanently by the university.</p>		<p>Archive</p>
	<p><b>Enrolment</b> Activities and processes associated with students' initial and continuing enrolment in a course or program of study.</p>		
<p><b>Academic progress</b> Records relating to the academic progress of individual students. Records include: - exclusions, academic progress, academic standing, show cause; - Warnings regarding failure or potential failure to meet academic requirements; and withdrawal without academic penalty.</p>	<p>Retain until program completion, or if program abandoned, until maximum period for program completion has elapsed.</p>		<p>Archive</p>
<p><b>Course participation</b> Records relating to evidence of how individual students meet course participation conditions. Records include: - immunisation certificate; - first aid certificate; - visa approvals; - notification to immigration on enrolment status</p>	<p>Retain until program completion, or if program abandoned, until maximum period for program completion has elapsed.</p>		<p>Destroy</p>

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<p>Records relating to the enrolment of students into courses or programs of study. Includes:</p> <ul style="list-style-type: none"> <li>- enrolment forms;</li> <li>- re-enrolment forms;</li> <li>- enrolment verification/confirmation;</li> <li>- course cancellation;</li> <li>-changes to enrolment.</li> </ul> <p>For records relating to changes to student details see 'Student Administration - Student Details - Changes to Particulars'.</p>	<p>Retain for 6 months after last action.</p>		<p>Destroy</p>
<p>Enrolment - other records</p> <p>Other records relating to the enrolment of students into courses or programs of study not covered under 'Enrolment – administrative verification'. Records include:</p> <ul style="list-style-type: none"> <li>- confirmation of candidature;</li> <li>- credit transfer; and Leave of absence.</li> </ul>	<p>Retain until program completion, or if program abandoned, until maximum period for program completion has elapsed.</p>		<p>Destroy</p>
<p>Non-award courses/programs</p> <p>Records relating to the enrolment of individual students in non-award courses/programs such as English language programs, prior to their admission or in association with their studies. These programs are not part of the award programs/courses of the university;</p>	<p>Retain for 2 years after last action.</p>		<p>Destroy</p>
	<p><b>Graduation</b></p> <p>The activities associated with the conferral of an academic award following the completion of course or program requirements. Also includes the award of honorary degrees to persons external to the university.</p>		

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Academic dress Records relating to academic dress protocol.	Retain permanently.		Archive
Conferral proceedings Records relating to the proceedings of conferral of certificates at a ceremony. Includes protocols, and transcripts of guest speeches.	Retain for 10 years after last action.		Archive
Eligibility to graduate Eligibility to graduate, notification to students of finalisation, approval and of graduation ceremony.	Retain for 2 years after graduation ceremony		Destroy
Honorary degrees - accepted Records relating to the nomination and recommendation for the award of an honorary degree. For records relating to conferral of award <i>see 'Student Administration - Graduation - Conferral Proceedings'</i> .	Retain permanently.		Archive
Honorary degrees - accepted Records relating to the nomination and recommendation for the award of an honorary degree. For records relating to conferral of award <i>see 'Student Administration - Graduation - Conferral Proceedings'</i> .	Retain permanently.		Archive
Honorary degrees – refused or deferred Records relating to refusal of offer of honorary degree and those not proceeding or deferred.	Retain for 10 years after last action.		Review archival value
Programs Graduation programs.	Retain for 5 years after last action.		Archive

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<p>Certificate Replacement Request for replacement degree certificate. May include statutory declaration and payment of a fee.</p>	<p>Retain for 2 years after last action.</p>		<p>Destroy</p>
<p>Register Master record of university graduands</p>	<p>Retain permanently.</p>		<p>Archive</p>
	<p><b>Misconduct (ACADEMIC)</b> The activities associated with the management of misconduct involving a breach by a student of academic standards which may involve</p>		
<p>Allegations Records relating to allegations of academic misconduct.</p>	<p>Retain until program completion, or if program abandoned, until maximum period for program completion has elapsed.</p>		<p>Destroy</p>
<p>Academic Year book Records relating to the organisation and structure of the academic year. Including semester and other teaching period dates, key administrative and committee dates.</p>	<p>Retain for 1 year after academic calendar superseded.</p>		<p>Archive</p>
<p><b>Student Fees and Charges</b> The processes involved in establishing, determining and administering the fees and charges to be levied on students, including student contribution fees, tuition fees, student services charge and library fines. For records relating to the administration of student loans programs <i>see 'Student Services - Financial Assistance'</i>.</p>			

Proposed Records Retention Schedules Wits University

<p>Fees and fines                  Records relating to the administration and collection of tuition fees (other than student contribution fees) and library fines. Includes correspondence relating to outstanding fees, fines and non-payment.</p>	<p>Retain for 5 years from end of last financial year.</p>		<p>Destroy</p>
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Proposed Records Retention Schedules Wits University

Sanction for non-payment (Not Paid) Records relating to the administration of the sanction for non-payment of tuition fees (other than student contribution fees) and library fines.		Retain for 70 years from date of enrolment.		Destroy
Sanction for non-payment (Paid) Records relating to the administration of the sanction for non-payment of tuition fees (other than student contribution fees) and library fines.		Retain for 3 months after last action.		Destroy
Schedule of fees Schedules of fees set.		Retain for 10 years from year to which schedule relates.		Archive
	<p><b>Student Records</b></p> <p>The processes involved in maintaining accurate and up to date personal and academic details for current and noncurrent students.</p> <p>For other records relating to individual students <i>see 'Student Administration - Student Files'</i>.</p>			
Identity cards Photographic images for student identity cards. Includes negatives.		End of 'registered student' relationship with institution + 6 years.		Destroy
Verification of details External enquiries and verification of personal details, academic records and student academic progress.		Retain for 1 year after last action.		Destroy
	<p><b>Student Exchanges</b></p> <p>The activities involved in arranging opportunities for students to attend another institution, whilst still being enrolled at the university.</p>			
Applications to attend another institution - successful Copies of successful applications for a student to enroll at another institution under an exchange program.		Retain for 2 years after end of period of enrolment.		Destroy

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<p>Applications to attend another institution - unsuccessful Copies of unsuccessful applications for a student to enroll at another institution under an exchange program.</p>	<p>Retain for 6 months from last action.</p>		<p>Destroy</p>
<p>Exchange agreements Student exchange agreements.</p>	<p>Retain for 7 years after expiry or cancellation of agreement.</p>		<p>Destroy</p>
<p><b>Student Files</b> Documentation on 'Student Files' relates to some or all of the following activities: academic progress; appeals; assessment; credit transfer; enrolment;</p>			
<p><b>Summary student data</b> Record comprising a summary of all student data maintained in an enterprise system for the purpose of providing information on individual students. Information to include, but is not limited to:</p> <ul style="list-style-type: none"> <li>- Student name</li> <li>- Student ID</li> <li>- Date of birth</li> <li>- Enrolment summary</li> <li>- Misconduct summary</li> <li>- Awards/courses completed</li> </ul>	<p>Retain permanently.</p>		<p>Archive</p>
<p>Student communication General administration of helpdesk and call centre services, e.g. recording of details about calls, etc. records include Recorded phone calls, e-mail enquiries, correspondence</p>	<p>Retain until administratively no longer required</p>		<p>Destroy</p>

	<p><b>Student Recruitment</b> The activities involved in recruiting students to the institution.</p>		
<p>Appointments Records relating to the appointment of advertising and recruitment representatives or agencies. Includes agreements.</p>	Retain for 7 years after appointment ceases		Destroy
<p>Agreements Records relating to the agreements with advertising and recruitment representatives or agencies.</p>	Retain for 7 years after expiry or cancellation of agreement		Destroy

	<b>STUDENT AFFAIRS</b>		
	The function of providing a broad range of development and support services to developing and supporting students in their personal growth and		
	<b>Accommodation Services</b>		
	The activities involved in providing places of residence for students, where the residence is managed by the university. This excludes privately controlled and owned accommodation.		
Applications - successful Records relating to students in accommodation. Records include successful applications and acceptances, student contracts, breaches of code of conduct relating to in-house codes of conduct and disciplinary action.	Retain for 2 years after student leaves accommodation.		Destroy
Applications - unsuccessful Records relating to unsuccessful applications for student accommodation.	Retain for 6 months after semester commenced.		Destroy
Conduct Codes of conduct for students.	Retain until superseded.		Archive
Fees and charges Schedule of fees.	Retain for 5 years after superseded.*		Archive
Registers Appointment registers.	Retain for 2 years after last action.		Archive

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	<p><b>Counselling</b> The activities associated with providing personal, academic and general counselling services, and associated programs, to students and staff.</p>		
Appointment Registers Appointment registers for student counselling services.	Retain for 2 years after last action.		Archive
	<p><b>Careers and Employment</b> The activities associated with providing information and assistance to students relating to student and graduate employment, career management</p>		
Communications Records relating to the collection and dissemination of careers information. Includes interaction with providers and employers, employment opportunities, seminars and mentoring.	Retain for 6 months after last action.		Destroy
Client Files Personal, academic and general counselling patient files. Excludes careers counselling.	Retain for 7 years after appointment or access on behalf of the client AND until the client is 25 years of age.		Destroy
Administration Records relating to the provision of counselling programs or activities.	Retain for 2 years after last action.		Destroy
	<p><b>Financial Aid</b> Activities associated with providing financial information and support, including loan schemes, to assist students to undertake studies or participate in other aspects of university life. For records relating to accounting, refer to <b>Financial Management –Management Accounting</b></p>		

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<p>Discretionary funds - administration</p> <p>Records relating to administration, establishment and maintenance of discretionary funds to assist students to attend conference, sporting competitions, etc. Excludes student loans schemes.</p>	<p>Retain 5 years after last action.</p>		<p>Destroy</p>
<p>Discretionary funds – successful applications</p> <p>Successful applications for discretionary funds and supporting documentation, including assessment and approvals.</p>	<p>Retain for 5 years after last action.</p>		<p>Destroy</p>
<p>Discretionary funds – unsuccessful applications</p> <p>Unsuccessful applications for discretionary funds and supporting documentation.</p>	<p>Retain for 1 year after last action.</p>		<p>Destroy</p>
<p>Student loans - administration</p> <p>Records relating to the establishment and administration of student loans scheme. Includes, rules and regulations.</p>	<p>Retain 5 years after scheme becomes obsolete.</p>		<p>Archive</p>
<p>Student loans – successful applications</p> <p>Successful applications for student loans, including supporting documentation, assessment, approvals, repayments and requests for extensions.</p>	<p>Retain for 5 years after discharge of the loan.*</p>		<p>Destroy</p>
<p>Student loans – unsuccessful applications</p> <p>Unsuccessful applications for student loans and supporting documentation.</p>	<p>Retain for 1 year after last action and expiration of appeal period.</p>		<p>Destroy</p>
	<p><b>Health Services</b></p> <p>The activities associated with the provision of medical and nursing services where the service is directly provided by the university or where for other reasons (such as an agreement) the university has a right to control the records.</p> <p>For teaching clinics <i>see 'Teaching and Learning – Teaching Projects'</i>.</p>		

Proposed Records Retention Schedules Wits University

<p>Accreditation and licensing</p> <p>Records relating to the accreditation of the medical practice. Includes licences and permits.</p>	<p>Retain for 5 years after licence or permit lapses.*</p>		<p>Destroy</p>
<p>Agreements</p> <p>Agreements with service providers. Includes agreements between the university and service providers specifying ownership of client files.</p>	<p>Retain for 7 years after expiry or cancellation of agreement.</p>		<p>Destroy</p>
<p>Appointment registers</p> <p>Appointment registers for student health services.</p>	<p>Retain for 2 years after last action.</p>		<p>Archive</p>
<p>Clinical care – notifiable diseases</p> <p>Records displaying evidence of clinical care to an individual patient/client with the following notifiable diseases:</p> <ul style="list-style-type: none"> <li>- Hepatitis B;</li> <li>- Hepatitis C;</li> <li>- HIV;</li> <li>- Severe Acute Respiratory Syndrome (SARS);</li> <li>- Syphilis; and</li> <li>- Tuberculosis</li> </ul>	<p>Retain for 85 years from patient’s date of birth; and 10 years after last patient service provision or medico-legal action.</p>		<p>Destroy</p>
<p>Misconduct/ Disciplinary (non-academic)</p> <p>The activities associated with the management of matters relating to student discipline such as harassment, property damage or other forms of misconduct that do not involve academic studies. Student discipline is authorised by a university statute.</p>	<p>Retain until program completion, or if program abandoned, until maximum period for program completion has elapsed</p>		<p>Destroy</p>

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<p>Allegations – non-academic misconduct Records relating to allegations of student non-academic misconduct Investigations - non-academic misconduct Records relating to interaction with external agencies regarding criminal or legal investigations into student non-academic misconduct.</p>	<p>Retain for 7 years after last action.</p>		<p>Destroy</p>
	<p><b>Scholarships, Prizes, Awards, Bursaries, Fellowships and Medals</b> The activities associated with the provision and award of scholarships, prizes, awards, bursaries, and fellowships on academic merit or other</p>		
<p>Medals – design and manufacture Records relating to the design and manufacture of medals.</p>	<p>Retain permanently.</p>		<p>Archive</p>
<p>Medals – establishment Records relating to the establishment of university Medals and medals for outstanding academic scholarship.</p>	<p>Retain permanently.</p>		<p>Archive</p>
<p>Medals – recipients Register of recipients of university Medals and medals for outstanding academic scholarship.</p>	<p>Retain permanently.</p>		<p>Archive</p>
<p>Medals – rules and conditions Records relating to rules and conditions for university Medals and medals for outstanding academic scholarship.</p>	<p>Retain permanently.</p>		<p>Archive</p>
<p>Presentation ceremonies Administrative arrangements for presentation ceremony for scholarships, prizes, awards, bursaries and fellowships, including programs of proceedings.</p>	<p>Retain until reference ceases.</p>		<p>Destroy</p>

Proposed Records Retention Schedules Wits University

<p>Recipients – determination Determination or nomination of recipients of scholarships, prizes, awards, medals, bursaries and fellowships.</p>	<p>Retain for 5 years after prize awarded.</p>		<p>Destroy</p>
<p>Scholarships, prizes, awards, bursaries and fellowships – applications. Applications for scholarships, prizes, awards,</p>	<p>Retain until end of the appeal period.</p>		<p>Destroy</p>
<p>Scholarships, prizes, awards, bursaries and fellowships -administration Records relating to the administration of the scholarships, prizes, awards, medals, bursaries and fellowships for an individual student. Includes notification of the award.</p>	<p>Retain for 5 years after last action.</p>		<p>Destroy</p>
<p>Scholarships, prizes, awards, bursaries and fellowships -establishment Records relating to the establishment, rules and conditions of scholarships, prizes, awards, bursaries and fellowships.</p>	<p>Retain permanently.</p>		<p>Archive</p>
<p>Scholarships, prizes, awards, bursaries and fellowships -recipients Registers of recipients of scholarships, prizes, awards, bursaries and fellowships.</p>			<p>Retain permanently. Destroy</p>
	<p><b>Student Association Management</b> The activities involved in administering relationships with sporting, political and social clubs of the student body</p>		
<p>Students’ Association Constitution Review &amp; Approval Records of reviewing the Student Association’s constitution, other than formal review &amp; approval by Senate or Council(The formal review and approval of the Students’ Association constitution will be recorded in the minutes of the appropriate meetings, &amp; copies of the Student Association’s constitution will be retained with the papers of those meetings.)</p>	<p>Issue of revised constitution +10 years</p>		<p>Archive</p>

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<p><b>Students' Association Funding</b> Records of negotiating &amp; agreeing funding to be provided by the institution to the Students' Association.</p>	<p>Current Financial Year + 5 years*</p>		<p>Destroy</p>
<p><b>Students' Association Financial Monitoring</b> Records of reviewing the students' association budgets, other than formal review &amp; approval by Senate or Council. (The formal review &amp; approval of the Students' Association budgets will be recorded in the minutes of the appropriate meetings, &amp; copies of the Students' Association's budgets will be retained with the papers of those</p>	<p>Current Financial Year +5 years *</p>		<p>Destroy</p>
<p><b>Students' Association Operations Monitoring</b> Records of monitoring elections to major offices in the Students' Association. Formal reports on the conduct of the Students' Association elections will be retained in the Senate/Council papers, for which <i>see Governance – Council</i></p>	<p>Current year +2 years.</p>		<p>Destroy</p>
<p>Records of monitoring the student association's affiliations. Copies of notices of the Student Association's decisions to affiliate, &amp; formal reports of affiliations, will also be retained with the papers of Senate/Council</p>	<p>Current year +2 years.</p>		<p>Destroy</p>
<p>Records of monitoring complaints against the Students' Association, &amp; the handling of them by the Association</p>	<p>Last action on complaint +6 years.</p>		<p>Destroy</p>

	<b>TEACHING AND LEARNING</b>		
	The function of conveying knowledge to facilitate learning including curriculum planning and development, delivery, assessment, material, resources and evaluation.		
	<b>Assessment</b>		
	The activities associated with processing and forming judgements about the quality and extent of student learning. For records associated with curriculum management and details of course content <i>see 'Teaching and Learning - Curriculum Management'</i>		
Academic records Official academic records of the grades achieved by a student in a course of program.	Retain permanently		Archive
Assessment – completed Examination scripts and other forms of assessment completed by students. Including written, oral, performances,	Retain for 1 year after release of results.		Destroy
Attendance Records relating to the attendance for examinations or other assessments activities.	Retain for 6 months after last action.		Destroy
Examination papers – master set Master set of exam question papers.	Retain permanently		Archive
Results – appeals Records relating to appeals about examination/assessment results.	Retain for 2 years after last action.		Destroy
Results – changes Records relating to changes to assessment results. Includes requests and	Retain for 2 years after last action.		Destroy

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Results – grading Results – grading/marking of individual assessment items such as assignments, essays and theses.	Retain for 2 years after last action		Destroy
Results – review Records relating to review, moderation and confirmation of results.	Retain for 2 years after last action		Destroy
Special arrangements Records relating to special arrangements for individual students during examinations or assessment (for example to assist with a disability or language need), and/or special arrangements for distance education, and remote sites. Excludes timetables which are covered under <b>'Timetabling -Administration'</b> .	Retain for 1 year after last action.		Destroy
Special consideration Special consideration requests and outcomes. Includes requests for deferred or supplementary examinations.	Retain until the end of the appeal period.		Destroy
Supervision – examination arrangements Records relating to administrative arrangements for examination and assessment. Includes supervision/invigilation arrangements and timetables.	Retain for 1 year after last action.		Destroy
Supervision – higher degree students Supervision of higher degree students - (masters and PhD) where assessment is not by coursework but by thesis or other significant work.	Retain until program completion, or if program abandoned, until maximum period for program completion has elapsed.		Destroy
Theses – assessment Records relating to assessment of thesis or other significant work for higher degree students (Masters and PhD). Includes appointment of examiners.	Retain until program completion, or if program abandoned, until maximum period for program completion has elapsed.		Destroy

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<p>Theses – master set Master set of theses submitted by research higher degree (Masters and PhD) and Honours students, for the purpose of assessment or evaluation in their degree.</p>	<p>Retain permanently by the university.</p>		<p>Archive</p>
	<p><b>Awarding</b> The activities associated with the granting of awards to staff in recognition of teaching excellence. Includes awards for university teaching given to individuals or to the institution, and internal and external awards.</p>		
<p>Applications – consideration Records relating to the consideration of applications for potential nomination for an award.</p>	<p>Retain for 5 years after award no longer offered.</p>		<p>Destroy</p>
<p>Applications – nominated after consideration, not successful Records relating to applications received which are nominated for an award and are not successful.</p>	<p>Retain for 5 years after award no longer offered.</p>		<p>Destroy</p>
<p>Applications – nominated after consideration, successful Records relating to applications received which are nominated for an award and are successful.</p>	<p>Retain permanently.</p>		<p>Archive</p>
<p>Applications – not nominated after consideration Records relating to applications received but not nominated for an award.</p>	<p>Retain for 5 years after award no longer offered.</p>		<p>Destroy</p>
<p>Establishment Records relating to the development and establishment of excellence awards within the university.</p>	<p>Retain for 5 years after award no longer offered.</p>		<p>Archive</p>
	<p><b>Course Delivery</b> The activities involved in the delivery of courses of study and their component units.</p>		

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<p><b>Course / subject details</b> Course / subject outlines.</p>	<p>Retain for 10 years after course/program last offered.</p>		<p>Archive</p>
<p>Media recordings Audio/audio-visual recordings of lectures, tutorials, seminars, workshops, clinics, etc.</p>	<p>Retain for 6 months after last action.</p>		<p>Review for archival value</p>
<p>Resources and materials Resources and materials used in course and subject delivery (includes study guides, readings, self-assessment exercises, audio visual teaching aids, assignments and lecture notes).</p>	<p>Retain for 2 years after last action.</p>		<p>Review for archival value</p>
<p>Data on &amp; analyses of students numbers &amp; other taught course statistics</p>	<p>Current Academic Year +5 years [JISC guidelines]</p>		<p>Destroy</p>
<p>Records of routine feedback on taught courses from staff &amp; examiners: individual feedback</p>	<p>Current Academic Year +5 years</p>		<p>Archive</p>
<p>Records of routine solicited feedback on taught courses from students: individual feedback</p>	<p>Completion of analysis of feedback [JISC guidelines]</p>		<p>Destroy</p>
<p>Records of (anonymised) summaries &amp; analyses of routine solicited feedback on taught courses from staff, examiners &amp; students</p>	<p>Current Academic Year +5 years [JISC guidelines]</p>		<p>Destroy</p>
<p>Reports of routine internal reviews of taught courses</p>	<p>Current Academic Year +5 years [JISC guidelines]</p>		<p>Archive</p>
<p>Records of the conduct &amp; results of formal reviews of taught courses, &amp; the responses to the results</p>	<p>Current Academic Year +5 years [JISC guidelines]</p>		<p>Archive</p>
	<p><b>Curriculum Management</b> The activities involved in developing and management WITS UNIVERISTY's academic curricula, programmes and courses. Includes accreditation. For records relating to assessment and results for students see '<b>Teaching and Learning - Assessment</b>'.</p>		

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Accreditation by professional bodies Records relating to the accreditation of courses or programs by professional or registration bodies.	Retain for 3 years after accreditation expires.		Destroy
Approval Records relating to the approval of curricula.	Retain permanently.		Archive
Records of developing taught programmes	Life of programme +10 years [JISC guidelines]		Archive
Records monitoring external developments & trends (including developments in other HE institutions) to inform the development of	Current Academic Year +1 years [JISC guidelines]		Destroy
Development – non-award courses/programs Records relating to the development of curricula for non-award courses and programs. Includes bridging programs, foundation programs, and tertiary preparation.	Retain for 5 years after last action.		Destroy
Working papers Teaching staff working papers for course/subject preparation and delivery.	Retain for 6 months after last action.		Destroy
	<p><b>Curriculum Review</b> The activities involved in re-evaluating or re-examining academic programmes and courses. Includes recommendations and advice resulting from these activities.</p>		
Records relating to administrative activities associated with the collection of data for an evaluation of teaching.	Retain for 2 years after last action.		Destroy
Records of routine & ad hoc feedback on the taught curriculum from staff, students, external examiners	Current Academic Year +5 years		Destroy

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Data Analysis and survey data.	Retain for 5 years after last action.		Destroy
Reporting Report of evaluation outcome. Records of the conduct & results of formal reviews of the taught curriculum,	Retain permanently.		Archive
	<p><b>Learning Materials</b> The activity of managing materials used in teaching activities which are subject to legislative and other regulatory controls. Includes chemicals, specimens, drugs, poisons etc.</p>		
Acquisition and disposal Records relating to the acquisition and disposal of chemicals, specimens, drugs and poisons etc. used in teaching and learning activities and which are not controlled by specific regulations.	Retain for 5 years after last action.		Destroy
Clinical and related waste Records relating to the management of clinical and hazardous	Retain for 5 years after the last action.		Destroy
	<p><b>Teaching Projects and Consultancy</b> Activities relating to the development of new teaching practices or products, modification or adaptation of existing practices or products for the purpose of improving student learning. Includes the development, submission and approval of projects; the management of the project and reporting on activities associated with progress and completion.</p>		
Agreements Agreements/contracts for teaching projects.	Retain for 7 years after expiry of agreement OR, 13 years after expiry of agreement if signed under seal.		Destroy

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<p>Development</p> <p>Records relating to the formulation and or development of teaching projects. Includes working papers and preliminary data.</p>	<p>Retain for 5 years after project completion.</p>		<p>Destroy</p>
<p>Funding proposals</p> <p>Records relating to funding proposals for teaching projects. Includes successful or unsuccessful proposals for competitive internal or external or non-competitive funding. Includes application forms or tenders, supporting information, referees, protocols and reports.</p>	<p>Retain for 5 years after last action.</p>		<p>Destroy</p>
<p>Reporting</p> <p>Reports on individual projects as required by granting bodies 'conditions, legislation or protocol or communication to the wider community. Includes progress/interim reports, final reports, and presentations.</p>	<p>Retain for 5 years after project completion.</p>		<p>Archive</p>
	<p><b>Consultancy</b></p> <p>The activities associated with the provision of teaching services to external bodies by the university and its staff.</p> <p>For data and analysis produced from consultancy see '<b>Research - Research Data</b>'.</p>		
<p>Records relating to the administration and management of consultancies. Includes monitoring – interim evaluations, progress; reporting – final reports, analysis, recommendations.</p>	<p>Retain for 7 years after expiry or cancellation of agreement</p>		<p>Destroy</p>
<p>Establishment</p> <p>Records relating to the establishment of consultancies. Includes preliminary correspondence concerning negotiations, agreements, costings, conditions of use, confidentiality, letter of offer, acceptance of offer and work plan and objectives.</p>	<p>Retain for 7 years after expiry or cancellation of agreement.</p>		<p>Destroy</p>

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	<p><b>Teaching Strategy Development</b> The activities associated with defining strategic goals and objectives for teaching and formulation of plans to achieve this.</p>		
<p>Approved teaching plans Approved operational teaching plan. Includes improvement programs and areas of teaching focus.</p>	Retain 5 years after plan superseded.		Archive
<p>Development and evaluation – teaching plans Records relating to the development, formulation and evaluation of operational teaching plans.</p>	Retain 3 years after last action.		Destroy
<p>Development and evaluation - teaching strategies Records relating to the development, formulation and evaluation of teaching strategies. Includes proposal for plan, correspondence, briefing papers and discussion papers.</p>	Retain 3 years after last action.		Destroy
<p>Strategic planning Approved teaching strategic plan. Includes strategic plans (mission statement, objectives, goals, and performance indicators), supporting documents and approval.</p>	Retain permanently.		Archive
	<p><b>Timetabling</b> The activities associated with the organisation, control and scheduling of classes and examinations for students.</p>		
<p>Administration Records relating to the booking of classes, exams and workshops for teaching purposes or other purposes.</p>	Retain permanently		Archive

## APPENDIX A.

### List of Acts, Guidelines and Standards

Due to various legislative requirements, documents must be retained for a certain number of years, depending on the applicable legislation. This guide or list does not attempt to be inclusive of all legislation, but has only referred to general legislation impacting a wide variety of records. It must be recognised, that changes in legislation and general practice continually occur. This publication serves merely as a guideline and must not be interpreted as constituting legal, accounting or other professional advice.

Users should always refer to legislation specific to their activities that might contain further requirements relating to the retention of records. Listed below are the various legislations that stipulate the period within which certain records should be retained.

1. Agricultural Produce Agents Act No. 12 of 1992, Section 18
2. Bank's Act 94 of 1990, Section 86
3. Basic Conditions of Employment Act No. 75 of the 1997, Section 29(4), 31(2).
4. Close Corporations Act No. 69 of 1984, Regulations.
5. Compensation for Occupational Injuries and Diseases Act, No. 130 of 1993 Section 81(2). (Departmental practice recommends a limit of seven years on the requirement to preserve records).
6. Companies Act Companies Act 2008 .Section 24 Form and standards for company records
7. Collective Investment Schemes Control Bill, Section 54
8. Co-operative Act No. 91 of 1981, Section 237

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9. Customs and Excise Act No. 91 of 1964, Section 101 and Regulation 1.04 - government Gazette No 4040 R17770 dated 5 October 1973.
10. Electronic Communications and Transactions Act. 2002 Chapter VIII - Protection of Personal Information 51. Principles for electronically collecting personal information
11. Financial Intelligence Centre Act No. 38 of 2001, Section 22
12. Insolvency Act No. 24 of 1936, Section 155 and Section 134 (1).
13. Income Tax Act No. 58 of 1962, Sections 75(1) and (2).
14. ISO 15489-2:2001/ (SANS 15489-2:2004): International Standard on Records Management. Information and documentation- Records management
15. ISO 19005-1, Document management - Electronic document file format for long-term preservation.
16. Joint Information Systems Committee(JISC) guidelines
17. NSI/ARMA 8-2005 Retention Management for Records and Information
18. Labour Relations Act No. 66 of 1995, Section 53 (4), 54(1), 98(4), 99; 205 (2)(a)
19. Manpower Training Act No. 56 of 1981, Section 44 (3)
20. National Archives of South Africa Act (No. 43 of 1996)
21. Occupational Health and Safety Act No. 85 of 1993, Regulations.
22. Pension fund Act No. 24 of 1956, Section 30L
23. Prescription Act No. 68 of 1969, Section 11c.

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24. Stock Exchange Control Act No. 1 of 1985, Section 43.
25. Second Hand Goods Act No. 23 of 1955 Section 6(8).
26. Sale and Service Matters Act No. 25 of 1964, Section 11 Stamp Duties Act No. 77 of 1968, Section 23(6).
27. The Promotion of Access to Information Act (PAIA)
28. Transfer Duty Act No. 40 of 1949 Section 15(1).
29. Value Added Tax Act No. 89 of 1991, Section 55 (1)