UNIVERSITY OF LIMPOPO

FILE PLAN AND DISPOSAL SCHEDULE

CONTENTS

1. INTRODUCTION

This File Plan and Disposal Schedule is solely developed to be utilised by the University of Limpopo (UL) as a standard proper record-keeping guidance measure and a critical legal records preservation evidence for all records, it will ensures that records are easily accessible, retrievable and only kept for as long as they are needed. The UL File Plan and Disposal schedule is founded on the premises of records management best practices, benchmarking findings, internal records inspections, assessments, consultations and other relevant stakeholder's inputs. The File Plan and Disposal Schedule plan should be read in conjunction with the University Records Management Policy Framework and University Records Retention and Disposal Policy.

2. FILE PLAN AND DISPOSAL SCHEDULE INTENT

The aim of the UL File Plan and Disposal Schedule is to define and achieve Records Management best practices for both physical and electronic University records to meet legal, financial, research and institutional requirements and compliance obligations:.

- To provide a systematic framework for the classification of all University records i.e. active, semi-active and inactive.
- To provide user friendly standardised filing system.
- To guarantee that records are retained, destroyed or preserved in accordance with all legal and fiscal requirements, archival value, and operational needs.
- To reduce the volume of records in the offices by providing essential guidelines on the retention and destruction / disposal of records.
- To differentiate between an official University records and convenience copies or duplicate records.
- To ensure records can only be retrieved and accessed by everyone who is entitled and authorised to do so.

3. APPLICATION

The File Plan and Disposal Schedule guidelines are applicable to all UL employees, students, contractors, consultants, stakeholders who manage, view, or create electronic or print records, including documents and any associated data or information, in all formats and in all media. It also includes all UL institutional, commercial, and technical records relevant to the University core business.

4. RETENTION OF PERSONAL INFORMATION

The personal information of students, employees, and partners are managed and protected in line with the Protection of Personal Information Act 4 of 2013, related South African legislation, the POPIA Code of Conduct: Public Universities / Universities South Africa (2020), University Records Management Policy Framework and University Records Retention and Disposal Policy , Data Management Policy, Personal Information Privacy Policy.

5. FILE PLAN AND DISPOSAL SCHEDULE FEATURES

The File Plan and Disposal Schedule is divided into 10 categories, represents the major functions that generate records within UL. While some categories align directly with divisional responsibilities, e.g., Governance Management and Human Resources Management, other categories are common to different areas within UL, e.g., Secretariat / Committee Relations. This functional approach allows for flexibility and consistent treatment of records. Block numeric filling system has been incorporated within the file plan. Each main subject group has been assigned a block of classification numbers i.e. sub-subject group and unique number. Provision has further been made in the main subject for policy activities emanating in that field.

6. AMENDMENTS AND ADDITIONS

All amendments and additions on the file plan must be submitted to the Office of the Registrar for approval. Block numeric numbers may not be changed or altered without approval. An exception or provision may be granted for subject which initially do not receive sufficient records.

7. RECORDS RETENTION AND DISPOSAL

Adherence to outlined retention periods relate to all records in the file plan, regardless of the format in which they are stored is essential. The retention periods provide guidance as to best records practice and they should be read in conjunction with the University Records Management Policy and Records Retention and Disposal Policy. No records may be disposed of without the necessary disposal authority, i.e.an electronic request email, clearly specifying records to be electronically archived or destroyed as outlined in the UL Records Management Policy must be directed to the following email: office.registrar@ul.ac.za. The following disposal symbol must be effected:

"A" Print / Electronic records must be permanently preserved / archived and kept on an off-site storage or electronically archived with complete records management capabilities implemented to manage electronic / print records. "D1 or D2" etc. Destroy / Delete or Shred records after the number of years reflected. Records must be kept on storage and destruction will commences as per the retention schedule. "DAU5" Destroy 5 years after financial auditing is finalised. Records must be kept on storage and destruction will commences as per the retention schedule.

8. BLOCK NUMBERS AND MAIN SUBJECT GROUPS LIST

The UL File Plan and Disposal schedule, is divided into 14 Block Numbers. The block number represents the major functions that generate majority of records within the University. Although some block numbers align directly with other department responsibilities, such as Legal Management and Human Resources Management, others are common to different areas such as Committee Relation or Secretariat. The functional approach chosen will allow flexibility and consistent treatment of University records.

BLOCK	MAIN SUBJECT GROUP
1.	**STATUTORY, GOVERNANCE AND COMPLIANCE** Records relating to statutory, governance and compliance requirements are filed here. This will include amongst others the UL Statute, founding documents, declarations of interest, e.g., trusts, partnerships and companies, terms of reference, audit planning, review and correspondence, risk management etc.
2.	**SECRETARIAT / COMMITTEE RELATIONS AND RECORDS MANAGEMENT** Records created by formed various committees guided by the University Statute are filed here, e.g., meetings agendas, minutes of meetings, official memo's, official letters, memorandums, notices , general calendars, travel and accommodation arrangements etc.
3.	**LEGAL MANAGEMENT** Contracts, agreements, legal advice, and disciplinary records are filed here, e.g., legal agreements, litigations, disciplinary disputes, legal requests.
4.	**FACILITIES MANAGEMENT** Records relating to the UL facilities physical assets, infrastructures maintenance and management, transport, building systems (e.g., fire systems and plumbing), equipment, utilities, e.g., electrical are file here.

5.	**ENVIRONMENT,SAFETY, OCCUPATIONAL HEALTH AND QUALITY MANAGEMENT** Records relating to the environment management, safety and occupational health management at UL are filed here.
6.	**FINANCE AND PROCUREMENT MANAGEMENT** Records relating to UL's Debtors, Creditors and financial reports, invoices, credit notes, debtors, financial statements, asset management, insurance management etc., and not limited to records with regards to procurement, tenders and vendor management are filed here, e.g., vendor management, tender management, procurement are filed here.
7.	**HUMAN RESOURCE MANAGEMENT** Records relating to the administration of human resource related matters are filed here. e.g., contract of employment, appointments, benefits, salary adjustments, promotions, termination of employment etc.
8.	**INFORMATION AND TECHNOLOGY MANAGEMENT** Records regarding the management ICT systems development and services are filed here, e.g., IT maintenance (patches, upgrades etc.), data recovery plan, backups, information security and data breach, system upgrade, ICT training, ICT service reports etc.
9.	**BRANDING, MARKETING AND COMMUNICATION** Records regarding brand management, communications with clients as well as records relating to events management and publications are filed here, e.g., press conferences, media briefings, publications, website, podcasts and other related online social media platforms (annual report, yearbooks, etc.)
10.	**INSTITUTIONAL PLANNIG, DESIGN , STRATEGY AND MANAGEMENT** Records regarding the organisational structure, evaluations, delegations of powers and strategic projects are filed in this category, e.g., organisational structure, delegations of authority, strategic planning etc.
11.	**STUDENT ADMINISTRATION AND MANAGEMENT** Records relating to student academic applications, admissions, residence applications and placements as well as bursaries and loans are filed here, e.g.
12.	**ACADEMIC ADMINISTRATION MANAGEMENT** Records relating to the management of the curriculum, termination of study, assessments, examinations, class timetable and graduation administration are filed here, e.g., curriculum management, assessment management, examination management, graduation administration and management.
13.	**RESEARCH INNOVATIONS, PARTNERSHIPS AND DEVELOPMENT MANAGEMENT** Records regarding research funding, partnership's, research exchange programmes, research community outreach programmes, reporting and ethical clearance for research, as well as the

	administration of research contracts are filed here, e.g., research funding applications, research reporting, research contracts, ethical clearance et.
14.	**CONTROLLED DOCUMENTS** Records that have gone through a formal approval process, .e.g., policies, procedures, constitutions, organograms, templates, forms etc.

CONTROLLED DOCUMENTS	RECORD SERIES
1P	**POLICIES**
2P	**PROCEDURES, MANUALS, TEMPLATES, FORMS, CONSTITUTIONS, ETC.**

- All original policies approved by Council and procedures updated will be electronically archived by the Office of the Registrar, for easy access policies and procedures will be uploaded on the Intranet and on the Website by Marketing and Communication Department, the department is further responsible to update website content regularly.
- Superseded and revised policies and procedures will be disposed by the Office of the Registrar.
- UL Staff members are encourage to keep and implement approved updated UL policies and procedures.
- Divisions, Departments, Units, Schools, Faculty and Section Managers/ HOD’s must ensures that, staff members within their divisions keep and implement updated policies and procedures.

NB: *Retention period for superseded policy/procedure is 6 years after every update. Disposition Method: Delete / Shred.*

Description	Retention Period	Office Responsible for the Original Document	Other Office Disposal of Duplicates	Record Classification	Recommended Disposal Action	Contains Personal Information
1. STATUTORY, GOVERNANCE, COMPLIANCE, LEGISLATION AND RELATED ADMINISTRATIVE PROCESSES.						
This main subject is used for the management of records related to governance issues, records originating from legislation, UL Statute and Council.						
Acts Regulations	Retain until superseded	Legal Services	No copies to be kept by other offices	Internal	D	N
Enforcements Directives Circulars Practice and guidance notes	Retain until superseded	Manager in division responsible for Enforcement	No copies to be kept by other offices	Confidential	D	Y
Consultations	Retain for 5 years after review or request	Manager in division responsible for Enforcement	No copies to be kept by other offices	Confidential	D	Y
Compliance	Retain Permanent	Compliance Officer	No copies to be kept by other offices	Restricted	A	Y
Reports: with regards to Statutory, Governance and Compliance matters	Retain Permanently	Division responsible for UL report	No copies to be kept by other offices	Confidential	A	Y
Research: in terms of Statutory, Governance and Compliance Matters Correspondence	Retain for 5 year after completion of Research	Division responsible for research	No copies to be kept by other offices	Confidential	D	Y
Reports Research Outputs	Retain Permanently				A	
Declarations of Interest Gift Registrar	Retain for 5 year after declaration	Compliance Officer	No copies to be kept by other offices	Restricted	D	Y
Governance Performance Scorecards	Retain for 5 year after performance assessment	Compliance Officer	No copies to be kept by other offices	Restricted	D	Y
UL Trust, Partnerships and Companies Correspondence Founding Documentation Structure Reports	Retain Permanently	DVC: Research, Innovations and Partnerships	No copies to be kept by other offices	Confidential	A	Y
UL Trust Terms of Reference Constitutions Committees Rules Mandates	Retain Permanently	DVC: Research, Innovations and Partnerships	No copies to be kept by other offices	Confidential	A	Y

Internal Audit Planning and Audit Follow-ups Ad Hoc Audits Performance Process Audit Review Correspondences	Retain for 5 year after completion of Audit	Manager responsible for Audit	No copies to be kept by other offices	Restricted	D	Y
External Audit Financial Audit Audit Findings	Retain for 5 year after completion of Audit	Manager responsible for Audit	No copies to be kept by other offices	Restricted	D	Y
Risk Management Risk reports Risk Incident Management Risk Register and Surveys Operational Risk Assessment Strategic Risk Assessment	Retain Permanently	Manager Strategy and Performance	No copies to be kept by other offices	Confidential	A	Y
Records Management File Plan and Disposal Schedule Master Records Index	Retain Permanently until superseded	Office of the Registrar: Records Management	No copies to be kept by other offices	Internal	A	N
Electronic Record Data Images Records Knowledge Library Digitised Records Recovery Plan Hosting Solution Upgrade	Retain Permanently	Office of the Registrar: Records Management	No copies to be kept by other offices	Internal	A	N
Description	**Retention Period**	**Office Responsible for the Original Document**	**Other Office Disposal of Duplicates**	**Record Classification**	**Recommended Disposal Action**	**Contains Personal Information**
2. SECRETARIAT / COUNCIL, COMMITTEE RELATIONS AND RECORDS MANAGEMENT						
This main subject is used for the records management of records related to different University statutory committees and other related matters.						
Agenda Attendance Register Communication Report Correspondence Decision Declaration of Interest Declarations of Conflict of Interest	Retain Permanently and Archive after 1 year	Secretariat of the specific committee	Destroy 1 year after meeting	Restricted Take Note: Council and Senate committee meeting draft minutes are regarded as confidential until they are approved at the next meeting. Only then can they be regarded as official minutes. Meeting minutes access must be requested from the University Registrar	A	Y
Elections Ballot Papers Elections CV's Elections: Nominations	Retain for 1 year after election	Secretariat of the specific committee	Destroy 1 year after meeting		D	Y

Election Results Election Signatures						
Gift Register Mandate Members List Minutes	Retain Permanently	Secretariat of the specific committee	Destroy 1 year after meeting	Restricted Take Note: Council and Senate committee meeting draft minutes are regarded as confidential until they are approved at the next meeting. Only then can they be regarded as official minutes. Meeting minutes access must be requested from the University Registrar	A	Y
Presentations Procedure Recommendation Report Recordings Report Resolution Terms of Reference	Retain Permanently	Secretariat of the specific committee	Destroy 1 year after meeting		A	Y
subsistence and Travel Accommodation Accommodation Arrangements Travel Arrangements Claims Honorarium Payments	Retain for 5 years	Person responsible for travel arrangements	No copies to be kept by other offices	Confidential	D	Y
General University Calendar	Retain Permanently when superseded	Registrar's Office	No copies to be kept by other offices	Public	A	N
Faculties and School Calendars	Retain for 3 years	Dean , HOD of that specific school or faculties	No copies to be kept by other offices	Internal	D	N
Official Memorandum Official Communiques Official Notices	Retain Permanently	Manager in specific division / process owner	No copies to be kept by other offices	Confidential	A	Y

Description	**Retention Period**	**Office Responsible for the Original Document**	**Other Office Disposal of Duplicates**	**Record Classification**	**Recommended Disposal Action**	**Contains Personal Information**
3. LEGAL MANAGEMENT						
This main subject is used for the records management of records related to legal management and related matters.						
Legal Agreements A written or oral agreement between parties, as to a mutually agreed to course of action/arrangement, which is intended to be legally binding and enforceable by law	Electronic Copies: Retain Permanently and Physical Copies: Retain for 5 years after termination of the agreement unless stated	Agreement Owners responsible for the execution and signing of the agreement, excluding Research Agreements, Memorandum of	Destroy 5 years after contract or agreement expires	Restricted	A	Y

	otherwise in the agreement	Understanding and Human Resources Agreements				
Research Agreements	Retain Permanently	Research Development Office	Destroy 5 years after contract or agreement expires	Restricted	A	Y
Research Partnerships and Funding	Retain Permanently	Research Development Office				N
Agreements Register	Retain Permanently	Register Owner	No copies to be kept by other offices	Confidential	A	N
Students Disciplinary Disputes NOTE: Records on HR related disciplinary matters are filed under Human Resources Management.	Retain for5 years after last modification	University Registrar and Head of Student Disciplinary Committee	No copies to be kept by other offices	Restricted	A	Y
Legal Requests Register	Retain Permanently	Legal Services	No copies to be kept by other offices	Confidential	A	N
Policies and Enforcements	Retain for 2 years after approval of policies and enforcements Retain 2 years after last modification	Policy Owners and University Registrar	No copies to be kept by other offices	Confidential	D	N
Research Knowledge Library	Retain until superseded	Legal Services	No copies to be kept by other offices	Confidential	D	N
Reporting	Retain Permanently	Receiving Party, e.g. Audit and Risk Committee	No copies to be kept by other offices	Confidential	A	N
Description	**Retention Period**	**Office Responsible for the Original Document**	**Other Office Disposal of Duplicates**	**Record Classification**	**Recommended Disposal Action**	**Contains Personal Information**
4. FACILITIES MANAGEMENT						
This main subject is used for the records management of records related to facilities physical assets, infrastructures maintenance and management, transport and related matters.						
Contract Maintenance records including all comprehensive documentation of all activities related to a specific contract, including its creation, execution, and any modifications or amendments.	Retain for 5 years after last modification	Facilities Management	No copies to be kept by other offices	Confidential	D	y
Equipment Maintenance Planning Checklists	Retain for 5 years after last modification	Facilities Management	No copies to be kept by other offices	Confidential	D	N

Inventories Stores Job cards Service Requests Reports						
Facilities Maintenance Service request Security Building Cleaning and Hygiene Services Grounds Property Damages Planned Maintenances	Retain Permanently	Facilities Management	No copies to be kept by other offices	Confidential	A	N
Delivery and Removal Services	Retain for 2 years after last modification	Service Providers and Facilities Management	No copies to be kept by other offices	Confidential	D	N
Students Residence Services Cleaning Services Security Services Maintenance Services Food Provision Services	Retain for 3 years after last modification	Service Providers and Facilities Management	No copies to be kept by other offices	Confidential	D	N
Transport Services Transport Applications Quotations Reservations Tariffs Claims	Retain for 5 years after last modification	Transport Services	No copies to be kept by other offices	Confidential	D	Y
Repairs and Maintenance Reports Accident Reports	Retain Permanent after latest version supersede	Transport Services	No copies to be kept by other offices	Confidential	A	Y
Description	**Retention Period**	**Office Responsible for the Original Document**	**Other Office Disposal of Duplicates**	**Record Classification**	**Recommended Disposal Action**	**Contains Personal Information**
5. ENVIRONMENT,SAFETY, OCCUPATIONAL HEALTH AND QUALITY MANAGEMENT						
This main subject is used for the records management of records related to environment management, safety and occupational health management at UL are filed here.						
Personal Protective Equipment (PPE) Management	Retain for 6 years after last modification	Facilities Management	No copies to be kept by other offices	Confidential	D	Y

Policies, Manuals and Guidelines	Retain until superseded	Facilities Management	No copies to be kept by other offices	Internal	A	N
Reports Specifications Plans Assessments Claims Notifications	Retain Permanently	Facilities Management	No copies to be kept by other offices	Confidential	A	Y
Reports Claims Plans Assessments Notifications PPE Management	Retain Permanently	Service Provider, Risk Management and Campus Security Manager	No copies to be kept by other offices	Confidential	A	Y
Reports Medical Reports Fit for Duty Reports Damages Claims	Retain Permanently	Risk Management and Campus Security Manager	No copies to be kept by other offices	Confidential	A	Y
Quality Management Reports Corrective Action and Improvement Request Plans Inspections Inspections Register	Retain Permanently	Facilities Management	No copies to be kept by other offices	Confidential	A	N
Description	**Retention Period**	**Office Responsible for the Original Document**	**Other Office Disposal of Duplicates**	**Record Classification**	**Recommended Disposal Action**	**Contains Personal Information**
6. FINANCE AND PROCUREMENT MANAGEMENT						
This main subject is used for the records management of records related to UL's Debtors, Creditors a, financial reports, invoices, credit notes, debtors, financial statements, asset management, insurance management, procurement, etc., are filed here. ***NOTE: Staff members in departments, schools or faculties dealing with finances are only required to keep copies of financial transactions until the year-end statements have been finalised, after which all copies can be destroyed seeing that financial transactions are captured on the finance system and original documentation are then administered and kept by the Finance Department.***						
Debtor Management Internal and External Debtors Applications	Retain Permanently	Finance Division	No copies to be kept by other offices	Confidential	A	Y

Proof of Loan Applications						
Student Debtors Student Debts Statistics Student Fee Calculations Settlement Estimates Bank Payment Orders Invoices Proof of Payments Refunds Credit Notes Deviation Register Letters of Demand for late Payments Irrecoverable Debts	Electronic Copies: Retain Permanently and Physical Copies: years after termination of studies due to graduation or any other instance OR after last modification	Finance Division	No copies to be kept by other offices	Confidential	D	Y
General Debtors External Bursaries	Retain for 5 years after completion of Audit	Finance Division	No copies to be kept by other offices	Confidential	D	Y
Statements	Electronic Copies: Retain Permanently and Physical Copies: Retain for 5 years after termination of the agreement unless stated otherwise in the agreement	Finance Division	No copies to be kept by other offices	Confidential	A	N
Outstanding Debts Debts Payment Arrangements Standard Arrangements Debts Cancellation Requests Extensions Final Notice Subpoenas Handed Over	Retain for 5 years after completion of Audit	Finance Division	No copies to be kept by other offices	Confidential	A	Y
Reconciliations Internal External	Retain for 5 years after completion of Audit	Finance Division	No copies to be kept by other offices	Confidential	D	N
Enquiries and Correspondence	Retain for 5 years after completion of Audit	Finance Division	No copies to be kept by other offices	Confidential	D	N
Input Register	Electronic Copies: Retain Permanently and Physical Copies: Retain for 5 years after termination of the agreement unless stated otherwise in the agreement	Finance Division	No copies to be kept by other offices	Confidential	A	N

Statistics	Electronic Copies: Retain Permanently and Physical Copies: Retain for 5 years after termination of the agreement unless stated otherwise in the agreement	Finance Division	No copies to be kept by other offices	Confidential	A	N
Debtors Codes and Distribution	Retain Permanently	Finance Division	No copies to be kept by other offices	Confidential	A	Y
Creditors Management Applications	Retain for 5 years after completion of Audit	Finance Division	No copies to be kept by other offices	Confidential	D	Y
Payment Administration Foreign Payments Requisitions Invoices Proof of Payment Correspondence Statements Reconciliations	Retain for 10 years after completion of Audit [Due to requests from international funders and requests for audits of e.g. research projects received 5 years and more after completion, the retention period for these records are extended to 10 years]	Finance Divisions	No copies to be kept by other offices.	Confidential	D	N
Sundry Payments Requisitions Invoices Proof of Payment Correspondence Creditors Statements Creditors Reconciliations					D	N
Creditors Payments Requisitions Invoices Proof of Payment Correspondence Creditors Statements Creditors Reconciliations		Finance Divisions	No copies to be kept by other offices.	Confidential	D	N
Reporting Internal Management Reporting Statutory Reporting Forecasting and Planning Budget Reporting Financial Analysis Debtors Age Analysis Creditors Age Analysis	Electronic Copies: Retain Permanently and Physical Copies: Retain for 5 years after last modification	Finance Divisions	No copies to be kept by other offices.	Confidential	A	N

Funder reporting External Reporting Amendment Reporting						
Taxation and Levies Returns Standard Import Income Tax Withholding Tax PAYE Final Accounts Levies Customs Excise	Retain for 5 years after completion of Audit	Finance Divisions	No copies to be kept by other offices.	Confidential	D	N
Facilities Reviews Banking Facility Guarantee Facility Insurance Facility Internal Reviews Correspondence	Retain for 5 years after completion of Audit	Finance Divisions	No copies to be kept by other offices.	Confidential	A	N
Bank and Cash Management Bank Institutions Bank Statements Reconciliations Correspondence	Retain for 5 years after completion of Audit	Finance Divisions		Confidential	A	N
Asset Management Asset Register Asset Consolidated Assets Disposal Reconciliations	Retain Permanently	Finance Divisions	No copies to be kept by other offices.	Confidential	A	N
Correspondence	Retain for 3 years after last action	Finance Divisions	No copies to be kept by other offices.	Confidential	A	N
Insurance Management Short Term Insurance Policies Long Term Insurance Policies Correspondences	Retain Permanently	Finance Divisions	No copies to be kept by other offices.	Confidential	A	Y
Fund and Investment Management Instructions and Approvals Loans Reserve Management Reconciliations Correspondences	Retain Permanently	Finance Divisions	No copies to be kept by other offices.	Confidential	A	N

Journals Assets Journals Budget Journals Banking Journals Transfer Journals Finance Journals Investments Donations Payroll	Retain for 10 years after completion of Audit	Finance Divisions	No copies to be kept by other offices.	Confidential	D	N
Budgeting Full Cost Budgets Short Course Budgets Contract Research Budgets Institutional Budgets Department, Divisions and Units Budget	Retain Permanently	Finance Divisions	No copies to be kept by other offices.	Confidential	A	N
Procurement Management Purchasing Delivery Notes Goods Received Purchase Orders Quotes Requisitions	Retain for current financial year plus 5 years	Finance Division/ Process Owner Manager	No copies to be kept by other offices.	Confidential	A	Y
Suppliers Successful Applications	Retain Permanently	Procurement Division	No copies to be kept by other offices.	Confidential	A	Y
Suppliers Successful Applications	Retain for current financial year plus 5 years					
Suppliers Contracts	Retain Permanently	Please Refer to 3. Legal Managements- Under Legal Agreements				
Vendor Management Vendor Database Vendor Pricelists/Fees Price Increases Change of Banking Details Credit Limits Sole Supplier Correspondence General Correspondence	Retain until superseded	Procurement Division	No copies to be kept by other offices.	Confidential	A	Y
Reporting Vendors Performance Reports Vendor Expenditure Reports Purchase Order Reports Stock Take Reports	Retain Permanently	Procurement Division	No copies to be kept by other offices.	Confidential	A	Y

Tender Management Internal Request for Information External Request for Information Tender Advertisement Tender Received Stakeholders Inputs Evaluation	D5 after completion of project (if no litigation ensues) Unsuccessful Tenders: Delete after 1 year.	Procurement Division	No copies to be kept by other offices.	Restricted	D	Y
Tender Register	Retain Permanently	Procurement Division	No copies to be kept by other offices.	Restricted	A	Y
Procurement Planning	Retain Permanently	Procurement Division	No copies to be kept by other offices.	Restricted	A	Y
Description	Retention Period	Office Responsible for the Original Document	Other Office Disposal of Duplicates	Record Classification	Recommended Disposal Action	Contains Personal Information
7. HUMAN RESOURCE (HR) MANAGEMENT						
This main subject is used for the records management of records related to the administration of human resource related matters e.g., contract of employment, appointments, benefits, salary adjustments, promotions, termination of employment etc., are filed here.						
Contract of Employment Member Information Employee Benefits Beneficiary Nomination Benefit Statement Proof of Payment Life and Disability Insurance Benefits Funeral Cover Medical Aid Benefits Retirement Benefits Loans Vehicle Allowance Housing Allowance Employee Termination of Service Exit Interviews Payroll Performance Management Rewards and Recognition Reports Resource and Labour histogram	Retain Permanent: If person retires at UL OR Retain for 3 years after last modification: if a person resigns or is retrenched or leaves UL for any other reason than reason than retirement.	Human Resources Division These records are part of the staff file. Staff file includes: application for employment and related records, employee's qualifications, promotion supporting records, compensation, termination, or disciplinary action.	No copies to be kept by other offices	Confidential	A	Y
System Administration Leave Administration	Retain Electronically on the system for 5 years	Manager HR Information Systems	Destroy 1 year after leave was taken	Confidential	D	Y

Leave Application Leave Schedules Absenteeism Statistics						
Employee Relations Processes Breaches and Grievances Disability Management Terminations Trade Union Management	Retain Permanently	Human Resources Division	No copies to be kept by other offices	Confidential	A	Y
HR Development Organisation Development and Talent Management Succession Planning	Retain for 15 years after termination of service	Human Resources Division	No copies to be kept by other offices	**Restricted**	D	Y
Training and Development Induction Training Needs Analysis Training Programmes Training Brochures Training Schedules	Retain for 15 years after termination of service	Human Resources Division	No copies to be kept by other offices	**Restricted**	D	Y
Study Assistance Development Program	Retain Permanently	Human Resources Division	No copies to be kept by other offices	**Restricted**	A	Y
Recruitment Sourcing Plan	Retain Permanently	Human Resources Division	No copies to be kept by other offices	**Restricted**	A	Y
Advertising and Sourcing Internal Adverts External Adverts Interview guides Regret Letters	Retain for 3 years after last modification	Human Resources Division	No copies to be kept by other offices	**Restricted**	D	Y
Description	**Retention Period**	**Office Responsible for the Original Document**	**Other Office Disposal of Duplicates**	**Record Classification**	**Recommended Disposal Action**	**Contains Personal Information**
8. INFORMATION AND TECHNOLOGY MANAGEMENT (ICT)						
INFORMATION AND TECHNOLOGY: The function of developing or acquiring, implementing and managing all types of technical and associated resources to capture store, retrieve, transfer, communicate or disseminate information through the use of electronic information systems. The recommended retention periods are applicable to all ICT Systems and Applications, whether they are listed in the ICT Systems and Applications spreadsheet, or not.						
Backups	Backups, in the form of backup tapes, disks, drives, servers or other forms of electronic/digital data backup, is kept by UL Information and Communication Technology Department solely for disaster recovery and / or business continuity. It is not intended to serve as the master copy of vital records or as a records retention tool. In the case of disaster, the backup would be used to recover system operability and/or restore lost records. Any other records, as indicated in the UL File Plan and Disposal Schedules and in the UL Records Retention and Disposal Policy, should NOT be disposed of on the basis of the existence of a backup. A backup containing master copies or the only existing copies of items that have not passed their retention would have to be					

	retained. Preferably, the records should be restored to the University's Records Management Hosting Solution Server (DataStor) systems from the backup to ensure that the backup is not used as a record.					
Emails	There is no retention schedule for emails, since emails only act as the carrier of the informational content and it is not intended to serve as the record copy or as a records retention tool. Retention is based on the informational content of the email, attachments to the email or any other carrier of information, and retention periods and responsibilities should be determined and applied according to informational content, e.g. correspondence about a Research Agreement should be retained as indicated under 3. Legal Management.					
Customer Services Users Technical and Application Support Request	D1 after last action	ICT	No copies to be kept by other offices	Confidential	D	Y
Systems Development and Installation Systems Development Implementation Projects	D5 after project completion or termination	ICT	No copies to be kept by other offices	Confidential	D	N
Systems Maintenance Licenses Network Topology Technical References	D5 after last action or after date of expiration	ICT	No copies to be kept by other offices	Confidential	D	N
Manuals	Retain Permanently when superseded	ICT	No copies to be kept by other offices	Confidential	A	N
Systems Operation Management Routine ICT Systems Testing System Operation and Performance Monitoring	D1 after last action of fault	ICT	No copies to be kept by other offices	Confidential	D	N
ICT System Security Arrangements	D5 after system decommissioning	ICT	No copies to be kept by other offices	Restricted	D	N
Description	**Retention Period**	**Office Responsible for the Original Document**	**Other Office Disposal of Duplicates**	**Record Classification**	**Recommended Disposal Action**	**Contains Personal Information**
9. BRANDING, MARKETING AND COMMUNICATION						
This main subject is used for the records management of records related to brand management, communications with clients as well as records relating to events management and publications are filed here, e.g., press conferences, media briefings, publications, website, podcasts etc., are filed here.						
Brand Management Corporate Identity Design Templates External Correspondence	Retain Permanently	Section / Division Manager	No copies to be kept by other offices	Internal	A	N
Brand Development	Retain Permanently	Section / Division Manager	No copies to be kept by other offices	Internal	A	N

Historical Brand Development						
Feedback Forms Feedback Results	Retain for 5 years after last modification	Section / Division Manager	No copies to be kept by other offices	Confidential	D	N
Reports	Retain Permanently	Section / Division Manager	No copies to be kept by other offices	Confidential	A	N
Communications Framework	Retain Permanently	Section / Division Manager	No copies to be kept by other offices	Confidential	A	N
Internal Communications Design Internal Memorandums Newsletters	Retain Permanently	Section / Division Manager	No copies to be kept by other offices	Confidential	A	N
External Communications Press Releases	Retain Permanently	Section / Division Manager	No copies to be kept by other offices	Public	A	N
Press Conferences Invitations Attendance Register	Retain for 1 year after last modification	Section / Division Manager	No copies to be kept by other offices	Confidential	D	Y
Media Briefing Statements	Retain Permanently	Section / Division Manager	No copies to be kept by other offices	Confidential	A	N
Intranet Distribution List	Retain Permanently Retain for 5 year after last modification	Section / Division Manager Senior / Division Manager	 No copies to be kept by other offices	Confidential Confidential	D D	Y Y
Speeches	Retain Permanently	Section / Division Manager	No copies to be kept by other offices	Confidential	A	N
Interviews	Retain Permanently	Section / Division Manager	No copies to be kept by other offices	Confidential	A	Y
Company Presentation	Retain Permanently	Section / Division Manager	No copies to be kept by other offices	Internal	A	Y
Corporate Social Responsibility Requests Approvals Internal Memos and External Correspondence	Retain Permanently	Section / Division Manager	No copies to be kept by other offices	Internal	A	N

Description	Retention Period	Office Responsible for the Original Document	Other Office Disposal of Duplicates	Record Classification	Recommended Disposal Action	Contains Personal Information
10. INSTITUTIONAL PLANNIG, DESIGN , STRATEGY AND MANAGEMENT						
This main subject is used for the records management of records related to the organisational structure, Statute, Constitution, evaluations, delegations of powers and strategic projects are filed in this category, e.g., organisational structure, delegations of authority, strategic planning etc., are filed here.						
UL Founding Documents e.g. UL Statute, Constitution, Mission and Vision, Motto Support Environments Academic Environments	Retain Permanently	Section / Division Manager	No copies to be kept by other offices	Confidential	A	N
Institutional Evaluation Business Continuity	Retain Permanently	Section / Division Manager	No copies to be kept by other offices	Confidential	A	N
Delegation of Powers and Authority Signatures for Approvals	Retain Permanently	Section / Division Manager	No copies to be kept by other offices	Confidential	A	Y
Strategic Planning Strategic Framework Operational Plans Performance Plans Strategic Budgets Investment and Valuation Management	Retain Permanently	Section / Division Manager	No copies to be kept by other offices	Confidential	A	N
Reporting UL Quarterly Reports UL Annual Reports with Financial Statements	Retain Permanently	Section / Division Manager	No copies to be kept by other offices	Restricted	A	N
Strategic Projects Management Engagement Management Appointment Letter Terms of Reference Correspondence	Retain Permanently	Section / Division Manager	No copies to be kept by other offices	Restricted	A	N
Project Management Project Initiation Project Planning Project Execution Project Change Request Project Monitoring and Controlling Project Sign Off Project Lesson Learnt	Retain Permanently	Project Manager	No copies to be kept by other offices	Restricted	A	N

Project Closure						
Project Reports Project Budget	Retain Permanently	Section / Division Manager	No copies to be kept by other offices	Restricted	A	N
Description	**Retention Period**	**Office Responsible for the Original Document**	**Other Office Disposal of Duplicates**	**Record Classification**	**Recommended Disposal Action**	**Contains Personal Information**
11. STUDENT ADMINISTRATION AND MANAGEMENT						
This main subject is used for the records management of records relating to student academic applications, admissions, residence applications and placements as well as bursaries and loans are filed here, e.g. ***Note: Student and Academic Administration Records Retention periods apply to hard copy as well as to electronic records on ITS (UL Integrated Tertiary System) and Student Portal. ALL student and academic records, must be retained on the ITS system and graduates or former UL students electronic records will be retain on DataStor Records Management Server. Access rights and restrictions requirements to such records are effected in line with POPIA and all data protection legislations to compliance obligations.***						
Applications and Admissions Criteria	Retain Permanently	Student Administration	No copies to be kept by other offices	Infernal	A	N
Applications	D3 for no registration after application AND D5 for no further activity after registration	Student Administration	No copies to be kept by other offices	Restricted	D	Y
Academic Progress Report Academic Record (UL Internal Qualification) Academic Record (External Qualification)	Retain Permanently on system as part of Student File. No paper copies to be filed	Student Administration	No copies to be kept by other offices	Restricted	A	Y
Admissions: Successful	D5 after graduation, study termination or any other instance	Student Administration	No copies to be kept by other offices	Restricted	D	Y
Admissions: Unsuccessful	D1 after outcome notification to the applicant and after any academic appeal conclusion	Student Administration	No copies to be kept by other offices	Restricted	D	Y
Student Correspondence	Retain Permanently on system as part of the student file. No paper copies to be filed	Student Administration	No copies to be kept by other offices	Restricted	A	Y

Proof of Payment	Retain Permanently on system as part of the student file. No paper copies to be filed	Student Administration	No copies to be kept by other offices	Restricted	A	Y
Successful Re-Admissions	D5 after graduation, study termination or any other instance	Student Administration	No copies to be kept by other offices	Restricted	D	Y
Unsuccessful Re-Admissions	D1 after outcome notification to the applicant and after any academic appeal conclusion	Student Administration	No copies to be kept by other offices		D	Y
Recommendations	Retain Permanently on system as part of the student file. No paper copies to be filed	Student Administration	No copies to be kept by other offices	Restricted	A	Y
Registration	Retain Permanently on system as part of the student file. No paper copies to be filed	Student Administration	No copies to be kept by other offices	Restricted	A	Y
Student Cards	Retain Permanently on system as part of the student file. No paper copies to be filed	Student Administration	No copies to be kept by other offices	Restricted	A	Y
Proof of Registration and other related qualification courses or modules matters	Retain Permanently on system as part of the student file. No paper copies to be filed	Student Administration	No copies to be kept by other offices	Restricted	A	Y
All Supplementary Documents	Retain as guided by POPIA requirements and other related supporting records management and data protection legislations	Student Administration	No copies to be kept by other offices	Restricted	D	Y
REPORTING Admission and Registration Statistics Interruption of Studies: both Undergraduate and Postgraduate Studies Programme Qualification Statistics Student Placement Recommendations Student Recommendation Report	Retain Permanently of System	Student Administration	No copies to be kept by other offices	Confidential	A	N

Student Request Discontinuation of Studies	Retain Permanently on system as part of the student file. No paper copies to be filed	Student Administration	No copies to be kept by other offices	Confidential	A	N
Enquiries and Correspondences	D1 after enquiry completion or correspondence	Student Administration	No copies to be kept by other offices	Confidential	D	N
RESIDENCE ACCOMMODATION Successful Accommodation Applications	Retain Permanently on system as part of the student file. No paper copies to be filed	Student Admission and Residence Management Division responsible for admission and accommodation allocation	No copies to be kept by other offices	Confidential	A	Y
Unsuccessful Residence Accommodation Application	D1 after outcome notification to the applicant and after any academic appeal conclusion	Student Admission and Residence Management Division responsible for admission and accommodation allocation	No copies to be kept by other offices	Confidential	D	Y
Cancellations	D1 after cancellation notification to the applicant and after any academic appeal conclusion	Student Admission and Residence Management Division responsible for admission and accommodation allocation	No copies to be kept by other offices	Confidential	D	Y
Placement Criteria	Retain permanently and archive after every update or revision	Student Admission and Residence Management Division responsible for admission and accommodation allocation	No copies to be kept by other offices	Confidential	A	Y
Placement Lists Waiting Lists Placements and Reservations	D1 after outcome notification to the applicant and after any academic appeal conclusion	Student Admission and Residence Management Division responsible for admission and accommodation allocation	No copies to be kept by other offices	Confidential	D	Y
Reports	Retain Permanently on system as part of the student file. No paper copies to be filed	Student Admission and Residence Management Division responsible for admission and accommodation allocation	No copies to be kept by other offices	Confidential	A	Y
FINANCIAL AID Applications Bursaries Full Cost Files Lists	Retain Permanently on system as part of the student file. No paper copies to be filed	Financial Aid and Bursaries Division	No copies to be kept by other offices	Confidential	A	Y

Reports						
Correspondences	D5 after last action on UL system	Financial Aid and Bursaries Division	No copies to be kept by other offices	Confidential	D	Y
FEES Fees Information Forms	Retain Permanently until superseded	Student Fees Finance Division	No copies to be kept by other offices	Internal	D	N
Enquiries	D5 after last action on UL system	Student Fees Finance Division	No copies to be kept by other offices	Internal	D	N
STUDENT MATTERS Career Advice Career Counselling and Planning	D5 after last action	Centre for Academic Excellence	No copies to be kept by other offices	Confidential	D	Y
COUNSELLING AND DEVELOPMENT Special Admission Examination Psychotherapy and Counselling Special Needs Documents Selection Test for Specific Professional Qualifications. Referral Letters Psychometrics Test Protocols Profiles Process Notes Correspondences	D5 after last action	Centre for Academic Excellence	No copies to be kept by other offices	Restricted	D	Y
STUDENT DISCIPLINARY MATTERS Appeal Correspondences Disciplinary Register Dispute Resolution Evidence Hearing Recordings and Records Hearing Outcome Letter Hearing Notice Investigation Dossiers Plea Document Witness Statement	Retain Permanently	Legal Service: Student Disciplinary Division and Office of the Registrar	No copies to be kept by other offices	Restricted	A	Y
Description	**Retention Period**	**Office Responsible for the Original Document**	**Other Office Disposal of Duplicates**	**Record Classification**	**Recommended Disposal Action**	**Contains Personal Information**
12. ACADEMIC ADMINISTRATION MANAGEMENT						

This main subject is used for the records management of records relating to the management of the curriculum, termination of study, assessments, examinations, class timetable and graduation administration are filed here, e.g., curriculum management, assessment management, examination management, graduation administration and management.						
Note: Academic Administration Records Retention periods apply to hard copy as well as to electronic records on ITS (UL Integrated Tertiary System) and Student Portal. ALL student and academic records, must be retained on the ITS system and graduates or former UL students electronic records will be retain on DataStor Records Management Server. Access rights and restrictions requirements to such records are effected in line with POPIA and all data protection legislations to meet compliance obligations.						
CURRICULAM MANAGEMENT Curriculum Development Curriculum Approval Professional Bodies Accreditations Yearbook / Calendar Updates / Adjustments Study Materials / Guides Module Forms / Module Specification records	Archive after every update	Every UL Lecturer responsible for presenting a module or programme	No copies to be kept by other offices	Confidential	A	N
Student Communications	D5 after last communication	Every UL Lecturer responsible for presenting a module or programme	No copies to be kept by other offices	Confidential	D	Y
Assessment Strategies (Both Formative and Summative)	Retain Permanently	Faculty and Assessment Management Division	No copies to be kept by other offices	Confidential	A	N
FORMATIVE ASSESSMENT MANAGEMENT Assessment Papers: Assignments and Tests Timetables Results Leave of Absence Planning Registers Correspondences	D3 after every assessment. However maximum retention might be allowed, only if it is recommended by any professional body	Every UL Lecturer responsible for presenting a module or programme	No copies to be kept by other offices	Confidential	D	Y
SUMMATIVE ASSESSMENT MANAGEMENT Assessment Papers: Assignments and Tests Timetables Results Leave of Absence	D3 after every assessment. However maximum retention might be allowed, only if it is recommended by any professional body	Every UL Lecturer responsible for presenting a module or programme	No copies to be kept by other offices	Confidential	D	Y

Planning Registers Correspondences						
TIMETABLE MANAGEMENT Exams Timetable	Retain Permanently	Assessment Management	D1	Internal	A	N
Other Timetables, e.g. lecturer time table, Tests, Physical Venues , Virtual Venues and Telematics	D1	Assessment Management	D1	Internal	D	N
EXAMINATION MANAGEMENT Exam Question Papers	Retain Permanently on system.	Lecturer responsible for module	D after finalisation of results or any appeals process	Confidential	A	N
Examination Correspondences	D3 after assessment year	Lecturer responsible for module	D after finalisation of results or any appeals process	Confidential	D	Y
EXAMINATION VENUES Application Lists Register Evaluations Reports	D3 after assessment year	Invigilation and Assessment Management	No copies to be kept by other offices	Confidential	D	Y
EXAMINATION SUPERVISION Application Appointment Attendance Lists Attendance Slips Reports Payments Control Form	Retain 1 year after last action	Invigilation and Assessment Management	No copies to be kept by other offices	Confidential	D	Y
EXAMINATION RESULTS ADMINISTRATION Examination Answer Scripts Remarking Correspondence Internal or External Examiner Moderator Report Mark Changes Mark Statement Mark Sheet	D3 after the last assessment year action	Lecturer responsible for that module	No copies to be kept by other offices	Restricted	D	Y
Special Concessions	D3 after the last assessment year action	Lecturer responsible for that module	No copies to be kept by other offices	Restricted	D	Y

GRADUATION ADMINISTRATION Academic Certificates: Printed Register Academic Certificates: Absentia Register Academic Certificates: Not Collected Register Academic Certificates: Collected Register Academic Certificates: Proof of Payment Receipts Academic Certificates: Wording Correspondence	D3 after the end of financial year	Registrar’s Division	No copies to be kept by other offices	Internal	D	Y
Graduation Final Programme	Retain Permanently			Public	A	
Honorary Degree Nominations Honorary Degree Nominations: Amendments Honorary Degree Nominations: Contact Lists Honorary Degree Nominations: Correspondence Honorary Degree Nominations: Invitations Nominations: Recommendation: Reports	Retain Permanently	Registrar’s Division	No copies to be kept by other offices	Restricted	A	Y
Graduation Date Schedules Graduation Programme: Drafts Graduation Programme: Members List Graduation Programme: Procession Graduation Programme: Timetable Graduation Programme: VIP Parking and Seating List	DI after the end of financial year	Registrar’s Division	No copies to be kept by other offices	Restricted	D	Y

Description	Retention Period	Office Responsible for the Original Document	Other Office Disposal of Duplicates	Record Classification	Recommended Disposal Action	Contains Personal Information
13. RESEARCH INNOVATIONS, PARTNERSHIPS AND DEVELOPMENT MANAGEMENT						
This main subject is used for the records management of records relating to research funding, partnership's, research exchange programmes, research community outreach programmes, reporting and ethical clearance for research, as well as the administration of research contracts are filed here.						
RESEARCH FUNDING Applications Awards	Retain Permanently - Electronic	Research Administration and Development Division	No copies to be kept by other offices	Confidential	A	Y
Unsuccessful Applications	D5 after the decision outcome was communicated to the student				D	Y
CAPACITY DEVELOPMENT Workshop Mentorship Materials	D5 after the end of financial year	Research Administration and Development Division	No copies to be kept by other offices	Internal	D	Y
Reports	D5 after the end of financial year				D	Y
Reporting	D5 after the end of financial year	Research Administration and Development Division	No copies to be kept by other offices	Confidential	D	Y
RESEARCH INFORMATION Database Management Research data Raw Research Data Management	Research data that is generated and used by the University researchers will be managed to a high standard throughout the research data lifecycle as part of the University's commitment to research excellence. To comply with legal requirements, research data will be managed according to the research funder's data policy, best ethical practice, and all relevant legislation such as the Protection of Personal Information Act (POPI Act or POPIA).					
Research Contracts	Division for Research Administration and Development (DRAD) is responsible for agreements of which the main element is research. Research related agreements are managed and retained on systems as specified by DRAD. Agreements about the transfer of copyright of academic articles written by UL academics is also managed by DRAD					
	Retain Permanently	Research Administration and Development Division	No copies to be kept by other offices	Restricted	A	Y
ETHICAL CLEARANCE Applications Correspondence Supporting Documents Result Letter Ethics Checklist	Retain Permanently- Electronic	Research Ethics Office / Officer	D2 after research completion	Restricted	A	Y

Description	Retention Period	Office Responsible for the Original Document	Other Office Disposal of Duplicates	Record Classification	Recommended Disposal Action	Contains Personal Information
14. CONTROLLED RECORDS						
UL Corporate Blank Templates and Forms	D when superseded	Record / Document Original Owner	No copies to be kept by other offices	Public	D	N
Founding Information e.g. Statute, Institutes, Centres, Schools	Retain Permanently when superseded	Record / Document Original Owner	No copies to be kept by other offices	Public	A	N
Organisational Structures, Rights and Duties of UL Entities, Management Governing Structured	Retain Permanently when superseded	Record / Document Original Owner	No copies to be kept by other offices	Public	A	N
Policies, Procedures and Regulations aiding UL with compliance and good governance	Retain Permanently when superseded	Record / Document Original Owner	No copies to be kept by other offices	Public	A	N
Specifications: Records describing or stating a precise requirements	Retain Permanently when superseded	Record / Document Original Owner	No copies to be kept by other offices	Public	A	N
Developed Manuals and Standards for UL, Divisions, Units or Entities compliance obligations	Retain Permanently when superseded	Record / Document Original Owner	No copies to be kept by other offices	Public	A	N
Training Modules e.g. All records relating to programmes designed to better the performance of individuals in the institutional settings.	Retain Permanently when superseded	Record / Document Original Owner	No copies to be kept by other offices	Public	A	N

9. FILE PLAN MAINTENANCE

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

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

10. FILE PLAN REVIEW

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