

NWU File Plan and Disposal Schedule

2023/2024



GENERAL INSTRUCTIONS

This file plan has been developed for the use of the North-West University and is not suitable for use by any other institution. It may not be copied or used by any other institution without written permission from the Director: Corporate and Information Governance Services (CIGS).

1 Ownership of Classification System

Ownership of the NWU File plan is the responsibility of the Senior Records Officer of the NWU. No amendments and/or additions to the file plan may be made without the approval of this official.

2 Master Copy

The master copy of this file plan is the responsibility of the Senior Records Officer and will be held and updated annually by this official.

3 User Guidelines

Each main section has user guidelines, guiding the user as to the content and method of records management within each main series. Before filing a record in a series, please consult the user guidelines to ensure that the record is being managed correctly and that the records management principles are being adhered to.

4 Accurate filing of records

Managers and record owners (as indicated in the file plan) must ensure that they are conversant with the series which relates to their work and should ensure that all records are managed in the correct file and assigned the correct reference number. Incorrect filing should be rectified immediately to ensure that permanently valuable records are not destroyed.

5 Policy files

Provision has been made in each main series for policy emanating from the activities in that main series. These files are identified by the letter "P" and is referenced by the main series to which the policy relates, followed by the letter "P" and the activity reference on the subject matter of the policy, e.g. 2P_2.5 is an indication of the Language Policy (2 – Management; P – Policy; 2.5 – Language Management).

The awarding of reference numbers for policy is the responsibility of the Director: CIGS and the Senior Records Officer and policy administration is the responsibility of the department CIGS.

Policy development and revision is dealt with in subseries 2.1.3.

6 Procedure, manuals, guidelines and strategy files

Provision has been made for procedures, manuals, guidelines and strategy files. These files are indicated by the letters "Pr" and the activity reference on the subject matter of the procedure, e.g. 3Pr_3.1 in an indication of the Procedure for recruitment and selection (3 – Human resources; PR – Procedure; 3.1 – Recruitment and selection).

7 Case files

Case files which forms part of the file plan are to be opened in accordance with the instructions appearing at the appropriate places in the file plan. These files are identified by the letter “C” as the last component of the reference number, e.g. 3C, 10.4C, etc. and are compulsory case files.

Any number of records can be grouped together in a case file for easy reference or any information purposes depending on the requirements of the specific office. Records in these case files must still display the correct reference numbers.

8 Open files

In some cases, open files will be found. Open files may only be created by the record owners where indicated. Record owners who may create open files will be instructed by the Senior Records Officer on how to use these files. These files are used for records with special content.

9 Authority list

An authority list with an indication of abbreviations used for departments is available as part of the file plan. In certain cases, it is necessary to use these authority abbreviations in a record reference to distinguish who the record owner is, e.g. in series 2.1.2.3 for strategic planning for schools and/or faculties, the reference should read 2.1.2.3_authorrrity_abbreviation (2.1.2.3_RAM). Authority abbreviations are to be used as stated in this list, independent of the language or network ID.

10 Search function

To search for a particular records in the electronic version of the file plan, the find function can be used.

11 Correspondence

In some instances on request from record owners, separate files were created for correspondence on a subject. In all other instances, correspondence rebates to a subject and is referenced as filed with the reference number of the file as provided in the file plan, e.g. letter/e-mail about quality manuals are filed in the same file as the quality manual (2.3.2.1).

12 General files

No original university records may be filed in a general file. The records must be filed according to the subject and activity it relates to.

13 Opening of files and description on file covers

Files should be open when required, i.e. do not open a file if you do not generate or manage records on the subject. Care should be taken that the numbering and descriptions of the files, as indicated in the file plan, are strictly adhered to. Every file should always contain the reference number< but wording/descriptions are optional. Approved file backs with the correct corporate identity are available from the NWU template folder on the NWU network.

The same principles applies to physical as well as electronic files.

14 Underlined descriptions

All underlined descriptions indicate subject headings only. Subdivisions are made under these subject descriptions. No file may be opened for any underlined description and no underlined descriptions may be used as record reference.

15 Amendments and additions

All amendments and additions to the file plan must be submitted to the Senior Records Officer for approval. Numbers may not be amended, added or omitted- without the approval of this official.

Sometimes it is necessary to provide files for subjects which initially do not receive sufficient records to warrant separate files being opened in each subject. These files may, however, not be opened

as general files. When the Senior Records Officer notices a specific subject generates records of administrative or historical importance to justify creating a new subject file, such a file will be provided for in the file plan. These new files will also be identified during the annual update of the file plan.

Subseries that are no longer in use will be shaded and the text “series closed” will be placed over the series. Records that are no longer in use will be struck through and may no longer be used.

16 Disposal of records

No records may be disposed of without the necessary disposal authority (the file plan has standing disposal authorities) – in this case, please refer to the Standard Operating Procedure for NWU records as published on the RAM departmental intranet website.

A disposal authority means a written authority specifying records to be transferred into the custody of the NWU Archives or specifying that the records may be destroyed.

The disposal symbols indicate the undermentioned:

| | |
|-----------------------|---|
| A | Records must be transferred to the NWU Archives for permanent preservation as soon as final or approved. |
| A1/A5 etc. | Records must be transferred to the NWU Archives for permanent preservation after the number of years indicated after the letter “A”. |
| D2/D3/D5 etc. | Records must be destroyed after the number of years indicated after the letter “D” considering that the retention period begins with the approval or finalisation of the record, unless otherwise stated in the file plan. |
| DAU5 | Records must be destroyed five (5) years after the financial audit is completed. |
| P in office of origin | Records must be preserved permanently in the office where the records originated. These are records with enduring administrative value, but no historical/archival value. |
| P on system | Records must be preserved permanently in an approved electronic system of the NWU. |

17 Destruction register

Standing disposal authority has been granted on all records in the file plan. A destruction register is implemented in which destruction of records are indicated and this is the responsibility of the Senior Records Officer. For the disposal of records, refer to the Standard Operating Procedure for the disposal of NWU records. Record owners must adhere to and follow the disposal instructions in the file plan.

18 NWU style sheets/templates

When creating any official record of the NWU, the NWU style sheet must be used at all times as the style sheet automatically creates the required metadata. Records not created on the NWU style sheet and without proper metadata lose authenticity and integrity and will not be accepted as official records of the NWU or accepted into the electronic records management system/program.

19 Electronic records management (ERM)

An electronic records management system/program with complete records management capabilities provided by the NWU will be implemented. It is compulsory that all official records are store on this system (or a system that forma part of the NWU Information Governance/ECM Strategy) and that all official records are created on the official NWU style sheet in order to safeguard authenticity, integrity and corporate identity application.

20 Classification of information

All information assets/resources of the NWU are classified in the File plan, as indicated below:

| | | |
|---|---|---|
| 1 | Open domain/public | Available to general public |
| 2 | NWU staff members | Available to all NWU staff members |
| 3 | Selected NWU staff members | Available to selected staff members (depending on the department/operational needs) |
| 4 | Confidential Information | Available on request/for operational needs |
| 5 | Strictly confidential/sensitive information | Available on request/for operational needs |

21 Implementation

This file plan was approved by the University Management Committee in support of the NWU Records, Archives and Museum management policy as well as the Rules for Records, Archives and Museum management.

Original details: (11664754) C:\Users\11664754\OneDrive - North-West University\2. Management\2.11_Records_Management\2.11.1_File_plan\2023 Update\2.11.1_General Instructions_2023.docm
12 February 2023

File reference: 2.11.1

B. Biographical Information

User Guidelines

This main series is used for the management of records related to **all stakeholders of the NWU** (staff, students and contractors, etc.). this series manages all **biographical information/data/records** of these stakeholders.

| Ref # | Description of record | Disposal of original | Office responsible for record | Other offices | Classification of information | Contains personal information? |
|-------|--|---|--|---------------------------------|-------------------------------|--------------------------------|
| B1_1 | South African Identity document | D1 after last transaction on any NWU system | Any office that received/managed this record regarding the subject | No copies held by other offices | 3 | Y |
| B1_2 | Passport | D1 after last transaction on any NWU system | Any office that received/managed this record regarding the subject | No copies held by other offices | 3 | Y |
| B1_3 | CV | D1 after last transaction on any NWU system A after termination of service of senior NWU staff | Any office that received/managed this record regarding the subject | No copies held by other offices | 4 | Y |
| B1_4 | Marriage Certificate | D1 after last transaction on any NWU system | Any office that received/managed this record regarding the subject | No copies held by other offices | 3 | Y |
| B1_5 | Notice of death/death certificate | D1 after last transaction on any NWU system | Any office that received/managed this record regarding the subject | No copies held by other offices | 3 | Y |
| B1_6 | Divorce records | D1 after last transaction on any NWU system | Any office that received/managed this record regarding the subject | No copies held by other offices | 3 | Y |
| B1_7 | Previous academic records | D1 after last transaction on any NWU system | Any office that received/managed this record regarding the subject | No copies held by other offices | 3 | Y |
| B1_8 | Previous diplomas/certificates/degrees | D1 after last transaction on any NWU system | Any office that received/managed this record regarding the subject | No copies held by other offices | 3 | Y |
| B1_9 | Medical reports | D1 after last transaction on any NWU system | Any office that received/managed this record regarding the subject | No copies held by other offices | 4 | Y |
| B1_10 | Proof of residential address | D1 after last transaction on any NWU system | Any office that received/managed this record regarding the subject | No copies held by other offices | 3 | Y |

| Ref # | Description of record | Disposal of original | Office responsible for record | Other offices | Classification of information | Contains personal information? |
|-------|---|---|--|---------------------------------|-------------------------------|--------------------------------|
| B1_11 | International Stakeholder visitor permit | D1 after last transaction on any NWU system | Any office that received/managed this record regarding the subject | No copies held by other offices | 3 | Y |
| B1_12 | International Stakeholder study permit | D1 after last transaction on any NWU system | Any office that received/managed this record regarding the subject | No copies held by other offices | 3 | Y |
| B1_13 | International Stakeholder residence permit | D1 after last transaction on any NWU system | Any office that received/managed this record regarding the subject | No copies held by other offices | 3 | Y |
| B1_14 | International Stakeholder work permit | D1 after last transaction on any NWU system For permanent staff – refer to 3C – management of staff file | Any office that received/managed this record regarding the subject | No copies held by other offices | 3 | Y |
| B1_15 | International Stakeholder visa | D1 after last transaction on any NWU system | Any office that received/managed this record regarding the subject | No copies held by other offices | 3 | Y |
| B1_16 | Biographical details form – exam coordinators | D1 after last transaction on any NWU system | Any office that received/managed this record regarding the subject | No copies held by other offices | 3 | Y |
| B1_17 | WIL Personal Indemnity Insurance | D1 after last transaction on any NWU system | WIL office at the relevant Faculty | No copies held by other offices | 4 | Y |
| B1_18 | WIL Immunisation | D1 after last transaction on any NWU system | WIL office at the relevant Faculty | No copies held by other offices | 4 | Y |
| B1_19 | WIL Immunisation – Hepatitis B 1 | D1 after last transaction on any NWU system | WIL office at the relevant Faculty | No copies held by other offices | 4 | Y |
| B1_20 | WIL Immunisation – Hepatitis B 2 | D1 after last transaction on any NWU system | WIL office at the relevant Faculty | No copies held by other offices | 4 | Y |
| B1_21 | WIL Governing body registration | D1 after last transaction on any NWU system | WIL office at the relevant Faculty | No copies held by other offices | 4 | Y |
| B1_22 | WIL Personal Indemnity Form | D1 after last transaction on any NWU system | WIL office at the relevant Faculty | No copies held by other offices | 4 | Y |

1. GOVERNANCE

2. User Guidelines

This main series is used for the management of records related to **governance** issues. Records originating from **legislation** (including the NWU Statute) and Council activities must be managed in this main series.

All legal compliance records are managed in this main series.

This series is also used for managing correspondence with important stakeholders in the University and the Higher Education environment, such as the Department of Higher Education and Training, national and provincial government departments, associations, statutory bodies etc. All correspondence received and answered should be filed in this main series.

- **Subseries 1** deals with records originating from compliance to legislative requirements. Records are filed in accordance with the Act the records have relevance to. The first sub-file in this series is always the relevant legislation followed by the records created in specific adherence to the Act.
- **Subseries 2** is used solely for the **Statute** of the NWU.
- **Subseries 3** is used for the management of records related to **governance structures**, records relating to structures established by the NWU Statute and flowing from Council activities/committees to govern the institution. All substructures of these structures are also listed here, and the records that emanate from them are managed in this subseries. The structures are not listed in a “reporting to” order. Numbering of records stays consistent throughout the subseries, and the distinction between organizational entities are made by adding “_” + the abbreviation in the Authority list at the back of the file plan.
- **Subseries 4** is used for the management of records related to statutory appointments, i.e. appointment of senior staff as governed by the NWU Statute.
- **Subseries 5** is used for the management of records related to **meeting/consultative structures prescribed by legislation**, such as Workplace Forums, OHS Committees, etc. These structures are not listed in a “reporting to” order. Numbering of records stays consistent throughout the subseries and distinction between organizational entities are made by adding “_” + the abbreviation in the Authority list at the back of the File plan.
- **Subseries 6** is used for the management of the **Annual Report** of the NWU. Two versions of the report are produced (one for the Department of Higher Education in terms of the Higher Education Act and another for stakeholders).
- **Subseries 7** is used for the management of correspondence/instructions from **government departments**, national, provincial and local. Records received and sent are referenced by using the number/name of the government department/subject of the correspondence, e.g. 1.7_DoHET_20200118.
- **Subseries 8** is used for the management of correspondence from and to/instructions from **statutory bodies**. Records received and sent are referenced by using the name/number of the statutory body and date, e.g. 1.8_HESA_20200118.
- **Subseries 9** is used for the management of correspondence from and to/instructions from **international associations**. Records received and sent are referenced by using the name/number of the association and date, e.g. 1.9_AAU_20200118.
- **Subseries 10** is used for the management of correspondence from and to/instructions from **national associations**. Records received and sent are referenced by using the name/number of the association and date, e.g. 1.10_NADEOSA_20200118.
- **Subseries 11** is used for the management of correspondence from and to/instructions from **professional bodies**. Records received and sent are referenced by using the name/number of the association and date, e.g. 1.11_SA_Nursing_Council_20200118.
- **Subseries 12** is used for the management of correspondence from and to/instructions from **companies/consortiums**. Records received and sent are referenced by using the name/number of the company/consortium and date, e.g. 1.12_Telkom_20200118.

- **Subseries 13** is used for the management of records related to the higher education landscape in general and intended for use solely by the University Management of the NWU.
- **Subseries 14** is used for the management of correspondence from and to/instructions from **education institutions**. Records received and sent are referenced by using the name/number of the institution and date, e.g. 1.14_UJ_20200118.
- **Subseries 15** is used for the management of correspondence from and to/instructions from **religious organisations**. Records received and sent are referenced by using the name/number of the organization and date, e.g. 1.15_SACC_20200118.
- **Subseries 16** is used for the management of records relating to **information governance**.

| Number | Policies |
|--------|---|
| 1P | <p>1P_1 Policy on governance oversight and management control</p> <p>1P_1.1 Policy on delegation, assignment and agency</p> <p>1P_1.1.3 Occupational Health and Safety Policy</p> <p>1P_1.1.10 Intellectual Property Policy of the NWU</p> <p>1P_1.1.11 Smoking Policy</p> <p>1P_1.1.12 Personal Information Privacy Policy</p> <p>1P_1.1.13 Policy and Rules on gatherings, demonstrations and picketing</p> <p>1P_1.3 Rules for the nomination, election, designation and appointment of Council members</p> <p>1P_1.3.1 Institutional Rules on Student Governance</p> <p>1P_1.3.1.8A Policy and rules for the awarding of Honorary Doctorates</p> <p>1P_1.3.1.8B Policy for the awarding of the Chancellor's medal</p> <p>1P_1.3.1.8C Policy and rules for Honorary naming</p> <p>1P_1.3.29 Rules of the Institutional Forum</p> <p>1P_1.3.29 Rules of the Student Campus Council of the campuses of the North West University</p> <p>1P_1.3.31 Constitution of the Students' Representative Council of the North-West University</p> <p>1P_1.3.33 Constitution of the NWU Convocation</p> <p>1P_1.4 Rules for the appointment of office bearers</p> <p>1P_1.4A Rules for the temporary secondary rotational appointment of a Vice Principal</p> <p>1P_1.16.1 NWU Information Strategy and Framework for Information Governance</p> <p>1P_1.16.1_A NWU Policy and Rules on Data and Information Security</p> <p>Disposal of the original: A after approval as part of Council records Office responsible for the original: Corporate Information and Governance Services Other offices' disposal: D after update/revision</p> |

| Number | Procedures, Manuals, Guidelines and Strategies |
|--------|---|
| 1Pr | <p>1Pr_1.1.3 Process Emergency Evacuation Drills</p> <p>1Pr_1.1.4 Promotion of Access to Information – Information Manual</p> <p>1Pr_1.1.9 Procedure for the allocation of ISBN numbers</p> <p>1Pr_1.1.12W Rules for the use of WhatsApp and similar groups¹ for official business at the NWU</p> <p>1Pr_1.1.3A Protocols on lightning during outdoor events</p> <p>1Pr_1.3.1 Student Leadership benefits programme</p> <p>1Pr_1.3.1B Rules and Procedures for No-Events Periods</p> <p>1Pr_1.3.1C Guidelines for the Nomination of a Student for the SCC and SRC: Distance student's officer elections</p> <p>2.2.4_1.1.18.3 SOP - DALRO</p> <p>Disposal of original: D5 after update/revision</p> <p>Office responsible for original: Manager in the specific division/process owner</p> <p>Other offices' disposal: D after update/revision.</p> |

¹ Where WhatsApp is mentioned, it may be replaced by Telegram and/or any other similar application used for the same purpose

| Ref # | Description of record | Disposal of original | Office responsible for record | Other offices | Classification of information | Contains personal information? |
|-------|--|---|--|---------------|-------------------------------|--------------------------------|
| 1.1 | Legislation related administrative processes | | | | | |
| 1.1.1 | <u>Higher Education Act, 1 of 1997 (HEA)</u> 1.1.1.1 Legislation 1.1.1.2 Correspondence 1.1.1.3 Declaration of interest at appointment (refer to series 2 for the annual declaration of interest process) | P in office of origin 1.1.1.3 – D5 after year of declaration | Any officer receiving records regarding the subject 1.1.1.3- People and Culture | D1 | 4 | Y |
| 1.1.2 | <u>Commissioners of Oaths Act, 16 of 1963</u> <i>Each commissioner will be referenced as a case file (1.1.2C_NWUnumber) and may include the undermentioned records. At minimum, 1.1.2.2, 1.1.2.3, 1.1.2.6 and 1.1.2.7 must be included in the case file.</i> 1.1.2.1 Legislation 1.1.2.2 Letters 1.1.2.3 Stamps 1.1.2.4 List 1.1.2.5 Training 1.1.2.6 <u>Application for appointment as commissioner of oaths</u> 1.1.2.7 <u>Appointment as commissioner of oaths.</u> | P in office of origin | Director: CIGS | D1 | 4 | Y |
| 1.1.3 | <u>Occupational Health and Safety Act, 85 of 1993</u> <u>Occupational Health and Safety system</u> 1.1.3.1 Element 1: Appointments, inspections, guidelines and training 1.1.3.2 Element 2: Risk Assessment, mandatories and construction 1.1.3.3 Element 3: Medical surveillance, first-aid, incident investigations and hazardous chemical substances 1.1.3.4 Emergency planning 1.1.3.5 Construction | P in office of origin The first file in each series is the legislation and procedures and the second file is the related records | OHS Officers | D3 | 3 | Y |

| | | | | | | |
|-------|--|---------------------------------|--|----|---|---|
| | 1.1.3.6 Legislation/Legal register 1.1.3.7 Health and Safety Rep: Inspection Register 1.1.3.8 Letters of appointment 1.1.3.9 Training needs analysis | | | | | |
| 1.1.4 | <u>Promotion of Access to Information Act, 2 of 2000</u> 1.1.4.1 Legislation 1.1.4.2 Request Forms 1.1.4.3 Responses 1.1.4.4 Reports 1.1.4.5 Application for Appeal 1.1.4.6 Response to appeal process | P in office of origin | Director: CIGS | D3 | 4 | Y |
| 1.1.5 | <u>Promotion of Administrative Justice Act, 3 of 2000</u> 1.1.5.1 Legislation 1.1.5.2 Report 1.1.5.3 Reasons 1.1.5.4 Judicial Reviews | P in office of origin | Director: CIGS | D3 | 4 | Y |
| 1.1.6 | <u>Employment Equity Act, 55 of 1998</u> 1.1.6.1 Legislation 1.1.6.2 Report 1.1.6.3 Plan | D3 in accordance with the Act | Employment Equity Manager: People and Culture | D1 | 3 | N |
| 1.1.7 | <u>Skills Development Act, 97 of 1998</u> 1.1.7.1 Legislation 1.1.7.2 Workplace Skills Plan 1.1.7.3 Annual Training Report | D5 | Skills Development Facilitator: People and Culture | D1 | 3 | Y |
| 1.1.8 | <u>Broad-Based Black Economic Empowerment Act, 53 of 2003</u> 1.1.8.1 Legislation 1.1.8.2 Score Cards 1.1.8.3 Required information | D5 in accordance with the Act | Employment Equity Manager: People and Culture | D1 | 3 | N |
| 1.1.9 | <u>Legal Deposit Act, 53 of 2003</u> 1.1.9.1 Legislation 1.1.9.2 List of ISBN numbers 1.1.9.3 Forms for allocation of numbers 1.1.9.4 Proof of deposit 1.1.9.5 Correspondence | Original is sent to the library | Office responsible 2for legal deposit | D5 | 3 | N |

| Ref # | Description of record | Disposal of original | Office responsible for record | Other offices | Classification of information | Contains personal information? |
|--------|---|--|---|---------------|-------------------------------|--------------------------------|
| 1.1.10 | <u>Intellectual Property Rights from Publicly Financed Research and Development Act, 51 of 2008</u> 1.1.10.1 Legislation and policy compliance 1.1.10.2 Administration 1.1.10.3 Cases and project management 1.1.10.4 IPR non-patent cases <i>Referenced as case files and numbered by reference number and case number, e.g. 1.1.10.3C_123456</i> | P in office of origin P on system – modules for Tech-transfer | Intellectual property and contracting manager: TTIS | D3 | 3 | Y |
| 1.1.11 | <u>Tobacco Products Control Act, 83 of 1993</u> 1.1.11.1 Legislation 1.1.11.2 Complaints | P in office of origin | Director: CIGS | D3 | 3 | Y |
| 1.1.12 | <u>Protection of Personal Information Act, 4 of 2013</u> 1.1.12.1 Legislation 1.1.12.2 Enquiries 1.1.12.3 Update request 1.1.12.4 Code of Conduct 1.1.12.5 Consent forms/letters 1.1.12.6 Privacy statements 1.1.12.7 Privacy notices 1.1.12.8 Privacy impact assessment 1.1.12.9 Privacy impact assessment reports 1.1.12.10 Objection to the processing of personal information 1.1.12.11 Request for correction or deletion of personal information/records 1.1.12.12 Complaint regarding the interference with the protection of personal information | P in office of origin | Director: CIGS | D3 | 3 | Y |

| Ref # | Description of record | Disposal of original | Office responsible for record | Other offices | Classification of information | Contains personal information? |
|--------|--|-----------------------|-------------------------------------|---------------------------------------|-------------------------------|--------------------------------|
| 1.1.13 | <u>Consumer Protection Act, 64 of 2008</u> 1.1.13.1 Legislation 1.1.13.2 Complaints | P in office of origin | Director: CIDS | D3 | 3 | N |
| 1.1.14 | <u>Disaster Management Act, 57 of 2002</u> 1.1.14.1 Legislation 1.1.14.2 Complaints | P in office of origin | Director: CIGS | D3 | 3 | N |
| 1.1.15 | <u>Companies Act, 71 of 2008</u> 1.1.15.1 Legislation 1.1.15.2 Complaints | P in office of origin | Director: CIGS | D3 | 3 | N |
| 1.1.16 | <u>Patents Act, 57 of 1978</u> 1.1.16.1 Legislation 1.1.16.2 complaints | P in office of origin | Director: CIGS | D3 | 3 | N |
| 1.1.17 | <u>Trademarks Act, 194 of 1993</u> 1.1.17.1 Legislation 1.1.17.2 Complaints | P in office of origin | Director: CIGS | D3 | 3 | N |
| 1.1.18 | <u>Copyright Act, 98 of 1978</u> 1.1.18.1 Legislation 1.1.18.2 Complaints <u>1.1.18.3 DALRO/SAMRO administration</u> 1.1.18.3.1 Correspondence 1.1.18.3.2 System declaration 1.1.18.3.3 Reporting 1.1.18.3.4 Training and awareness | P in office of origin | Director: CIGS | D3 | 3 | N |
| 1.1.19 | <u>National Research Foundation Act, 23 of 1998</u> 1.1.19.1 Legislation 1.1.19.2 complaints | P in office of origin | Director: CIGS | D3 | 3 | N |
| 1.1.20 | <u>Electronic Communications and Transactions Act, 25 of 2002</u> 1.1.20.1 Legislation 1.1.20.2 Complaints | P in office of origin | Director: CIGS | D3 | 3 | N |
| 1.1.21 | <u>Constitutional matters (Act 108 of 1996)</u> 1.1.21.1 Legislation 1.1.21.2 Complaints | P in office of origin | Office who dealt with the complaint | No copies to be kept by other offices | 4 | Y |
| 1.2 | <u>NWU Statute</u> | A as soon as approved | Registrar | No copies to be kept by other offices | 1 | N |

| Ref # | Description of record | Disposal of original | Office responsible for record | Other offices | Classification of information | Contains personal information? |
|------------|---|---|---|---------------|-------------------------------|--------------------------------|
| 1.3 | Governance structures as per the NWU Statute | | | | | |
| 1.3.1 | <u>Governance Structures records</u> <i>The records listed below apply to all governance structures listed in the NWU File plan and disposal schedule. New Governance structures will be added when these are registered.</i> <i>These records will be referenced as NWU File Reference number and Committee Abbreviation_Date, e.g. 1.3.0.1_Council_20200118</i> | | | | | |
| | 1.3.1.1 Terms of Reference 1.3.1.2 Membership list 1.3.1.3 Agendas 1.3.0.3.1 Agenda cover page 1.3.1.4 Minutes 1.3.1.5 Attendance register 1.3.1.6 Correspondence 1.3.1.7 Membership matters 1.3.1.7.1 Rules for elections 1.3.1.7.2 Nomination forms 1.3.1.7.3 Ballot papers 1.3.1.7.4 Appointment letters 1.3.1.7.5 Signatures 6.4.2 Photos (if applicable) B_1_3 CV 1.3.0.8 Awards 1.3.1.9 Reports (AT to confirm reporting) | A1 - Records must be kept in safe and secure storage for a period of one (1) year and then transferred to the NWU Archives by means of the transfer procedure | Coordinator of the relevant committee/structure and/or secretariat and/or minute taker (office of the Director: CIGS) | D1 | 3 | Y |
| | <u>The following are recognized and/or registered structures and/or committees of the NWU with the accepted abbreviation in brackets</u> NWU Council (Council) Executive Committee of Council (Council Exco) Remuneration Committee (REM) People and Culture and Employment Equity Committee (PCEE) Transformation and oversight Committee (TOC) Honorary Awards Committee (HONA) Finance Committee (FINCO) Tender Committee (TENCO) Investments Committee (INCO) Assets Committee (ASCO) Audit, Risk and Compliance Committee (ARCC) Committees in student support services (CoSSS) | | | | | |

| | |
|--|--|
| | <p>Senate (Senate)</p> <p>Senate Executive Committee (SENEX)</p> <p>Senate Committee for Research and Innovation (SCRI)</p> <p>Senate Committee for Academic Standards (SCAS)</p> <p>Executive Committee SCAS (SCASExco)</p> <p>SCAS Advisory Board (SCASADV)</p> <p>Admissions Requirements Committee (ARC)</p> <p>Higher Degrees Committee (HDACO)</p> <p>Research Support Commission (RSCO)</p> <p>Classification of Theses and Dissertation (CLASMD)</p> <p>Senate Committee for Teaching-Learning (SCTL)</p> <p>Faculty Board (FB + Reference as per Authority list, e.g. FBFLAW)</p> <p>Institutional Forum (IF)</p> <p>Human Rights Committee (HRCO)</p> <p>Student Representative Council (SRC)</p> <p>Student Campus Council (SCC + Campus reference as M/P/V)Convocation (CONV)</p> <p>Board of Donors Committee (BoD)</p> <p>Student Oversight Committee (SOC)</p> <p>Senate Committee for Philosophical Grounding (SPhil)</p> <p>Combined Assurance Forum (CAF)</p> <p>Technology Information Governance Committee (TIGov)</p> <p>Senate Library and Information Services Committee (LISCO)</p> <p>Senate Committee for Language and Planning and Advisory Services (SCLPAS)</p> <p>Research Data Gatekeeper Committee (RDGC)</p> <p>Steering Committee for Teaching-Learning related projects (SCTLP)</p> |
|--|--|

| Ref # | Description of record | Disposal of original | Office responsible for record | Other offices | Classification of information | Contains personal information? |
|-------|--|---|---|---------------------------------------|-------------------------------|--------------------------------|
| 1.4 | <u>Statutory appointments</u> 1.4.1 Chancellor 1.4.2 Principal and Vice Principal 1.4.4 Members of the University Management Committee 1.4.7 Executive Deans 1.4.8 Academic Directors 1.4.9 Vice-Principal 1.4.10 Acting 1.4.11 Deputy Vice-Chancellors 1.4.12 Registrar 1.4.13 Deputy Deans 1.4.14 Executive Directors <i>Each of the appointment files should have the following records</i> <ul style="list-style-type: none"> • Advertisement • Procedures • Appointment letters • Appointment Committee Records <i>For the records on the ceremony that may lead from the appointment, please refer to 2.16</i> | A1 month after appointment | Director: CIGS | No copies to be kept by other offices | 4 | Y |
| 1.5 | <u>Legislative prescribed committees</u> | | | | | |
| 1.5.1 | <u>Governance prescribed committees</u> <i>The records listed below applies to all legislative structures listed in the NWU File plan and disposal schedule. New structures will be added when these are registered.</i> These records will be referenced as NWU File Reference number Committee Abbreviation_Date, e.g. 1.5.0.1_NWUOHS_20200118 | | | | | |
| | 1.5.1.1 Terms of Reference 1.5.1.2 Membership list 1.5.1.3 Agendas 1.5.0.3.1 Agenda cover page 1.5.1.4 Minutes 1.5.1.5 Attendance Register 1.5.0.6 Correspondence 1.5.1.6 Membership matters | A1 – Records must be kept in safe and secure storage for a period of one (1) year and then transferred to the NWU Archives by means of the transfer procedure | Coordinator of the relevant committee/structure and/or secretariat and/or minute taker (office of the Director: CIGS) | D1 | 3 | Y |

| | | | | | | |
|-----|--|-----------------------------|---|----|---|---|
| | 1.5.1.6.1 Rules for elections 1.5.1.6.2 Nomination Forms 1.5.1.6.3 Ballot Papers 1.5.1.6.4 Appointment Letters 1.5.1.6.5 Signatures 6.4.2 Photos (if available) B_1_3 CV 1.5.0.8 Awards 1.5.1.8 Reports (AT to confirm) | | | | | |
| | <u>The following are recognized and/or registered structures prescribed by legislation and/or committees of the NWU with the accepted abbreviation in brackets</u> Workplace Forums (WPF) NWU Occupational Health and Safety Committee (NWU_OHS) NWU Pension Fund (NWU_PENS) University Bargaining Forum (UBF) Employment Equity and Skills Development Forum (EESDF) Occupational Health and Safety Representatives (OHS_REP) Vice-Chancellor Occupational Health and Safety Forum (VC_OHS) Exco Occupational Health and Safety (OHS_EXCO) Independent Students' Electoral Commission (ISEC) Campus Election Coordinating Teams (CECT) | | | | | |
| 1.6 | <u>NWU Statutory Reporting</u> 1.6.1 Annual Report – stakeholder version 1.6.2 Annual report – DoHET version 1.6.3 Mid-year performance report | A after approval by Council | 1.6.1 – Director: Communication 1.6.2 – Director: CIGS | D1 | 1 | N |
| 1.7 | <u>Government departments</u> | | | | | |
| | <i>File reference followed by the abbreviation of the Government department/subject of the correspondence date, e.g. 1.7_DoHET_20200118</i> | D30 | Staff members corresponding with the government department under whose signature the correspondence is sent | D1 | 3 | Y |
| 1.8 | <u>Statutory bodies</u> | | | | | |
| | <i>File reference followed by the name of the body, e.g. 1.8_HESA</i> | D5 | Staff members corresponding with the statutory bodies under whose signature the correspondence is sent | D1 | 3 | Y |

| Ref # | Description of record | Disposal of original | Office responsible for record | Other offices | Classification of information | Contains personal information? |
|-------|---|----------------------|---|---------------|-------------------------------|--------------------------------|
| 1.9 | <u>International Associations</u> | | | | | |
| | <i>File reference followed by the name of the association, e.g. 1.9_AAU</i> | D5 | Staff members corresponding with the association under whose signature the correspondence is sent | D1 | 3 | Y |
| 1.10 | <u>National Associations</u> | | | | | |
| | <i>File reference followed by the name of the association, e.g. 1.10_NACCW</i> | D5 | Staff members corresponding with the association under whose signature the correspondence is sent | D1 | 3 | Y |
| 1.11 | <u>Professional bodies</u> | | | | | |
| | <i>File reference followed by the name of the body, e.g. 1.11_SANC/1.11_SANusingCouncil</i> | D5 | Staff members corresponding with the professional body under whose signature the correspondence is sent | D1 | 3 | Y |
| 1.12 | <u>Companies/consortia</u> | | | | | |
| | <i>File reference followed by the name of the company/consortia, e.g. 1.12_TELKOM</i> | D5 | Staff members corresponding with the company/consortia under whose signature the correspondence is sent | D1 | 3 | Y |
| 1.13 | <u>Higher Education Landscape</u> | | | | | |
| | <i>For use by the University Management Committee for future reference</i> | | | | | |
| 1.14 | <u>Education Institutions</u> | | | | | |
| | <i>File reference followed by the name of the institution, e.g. 1.14_UNISA</i> | D5 | Staff members corresponding with the institution under whose signature the correspondence is sent | D1 | 3 | Y |

| Ref # | Description of record | Disposal of original | Office responsible for record | Other offices | Classification of information | Contains personal information? |
|-------|--|----------------------|--|---------------|-------------------------------|--------------------------------|
| 1.15 | <u>Religious Organisations</u> | | | | | |
| | <i>File reference followed by the name of the organization, e.g. 1.15_Name</i> | D5 | Staff members corresponding with the organisation under whose signature the correspondence is sent | D1 | 3 | Y |
| 1.16 | <u>Information Governance</u> | | | | | |
| | 1.16.1 Framework | D5 | Registrar | D1 | 1 | N |

2. Management

User Guidelines

Records relating to the management of the NWU and specific areas of importance are managed in this series. A wide spectrum of records are managed in this series, and as such almost every office will make use of this main series.

- **Subseries 1** is used for the management of all records relating to **strategic planning processes**. The records of the NWU, including faculties', schools and departments' records relating to mission, values and vision statements, strategic plans and reports on planning are managed in this main series. The only exception is the strategic plans of research entities which are managed under reference 9.1.1.5 in main series 9: Research and Postgraduate education. Numbering of records stays consistent throughout the subseries, and distinction between organizational entities are made by adding a “_” as well as the authority abbreviation for the entity, e.g. 2.1.2.4_RAM.
- **Subseries 2** is used for the management of records relating to **management structures** and includes the various management committees across the NWU. Numbering of records stays consistent throughout the subseries, and distinction between organizational entities are made by adding a “_” to the number as well as the authority abbreviation for the structure, e.g. 2.2.2.6_RAM. For the management of records in this series, also refer to the *Procedure for dealing with minutes and minute books of the NWU (2Pr_2.11.2B)*. For the filing of records related to organizational entity management, please see subseries 3.12.2.
- **Subseries 3** is used for the management of records relating to **quality matters**. The main record owners are the staff of the Quality Enhancement Office but quality coordinators in the faculties and support departments should use this series for the management of some of the quality records. These records include (but is not limited to) Internal and External Programme Evaluations, quality manuals, etc. For referencing of records in subseries 2.3.1.1 and 2.3.2 please refer to the authority list, records in this series are managed in adherence with the Quality Policy (2P_2.3).
- **Subseries 4** is used for the management of **legal matters** of the NWU. Contracts, agreements, etc. should be filed in this series and Legal Services informed of the existence of such contracts/agreements. Records relating to the legal aspects of Intellectual Property are managed in adherence to:

Policy: Management of research and innovation contracts (2P_2.4.2.2)

Conflict of Interest Policy (2P_2.4.2.3).

- **Subseries 5** is used for the management of records relating to **language matter**. The main record owner is the Language Directorate. Records in this series are managed in adherence to the *Language Policy (2P_2.5)*.
- **Subseries 6** is used for the management of records relating to **management information**. All management information (as supplied by the Data Warehouse), HEMIS data etc. are managed in this series. For referencing of records in subseries 2.6.1.5 please refer to the authority list.
- **Subseries 7** is used for the management of records relating to **transformation**. Records relating to diversity, equity and human rights are managed in this series. Human rights records are managed in adherence to the *Human Rights Policy (2P_2.7.3)*.
- **Subseries 8** is used for the management of records relating to **internationalization**. Records regarding administration of international students and international activities of the NWU are filed in this series. Records relating to the administration of foreign staff are, however, dealt with as an HR matter in 3.2.1.2.
- **Subseries 9** is used for the management of records relating to **internal audits**. The records in this series are owned by the Internal Audit staff and are strictly confidential.
- **Subseries 10** is used for the management of records related to **projects**. This series is NOT used for management of building projects (please refer to 5.1.6), residence and catering upgrade projects (please refer to 5.6.3), or community engagement projects (please refer to 10.4.4).

- **Subseries 11** is used for the management of records relating to **records management**. Records in this series are managed in adherence with the *Records Management policy (2P_2.11)*.
- **Subseries 12** is used for the management of records relating to **archives management**. Records in this series are managed in adherence with the *Archives, Museums and Collections Policy (2P_2.12)*.
- **Subseries 13** is used for the management of records relating to **library management**. This series is purely for the sake of completeness as the records are managed according to library practices and principles, records in this series are managed in adherence with the *Library Policy (2P_2.13)*.
- **Subseries 14** is used for the management of records relating to mail management.
- **Subseries 15** is used for the management of records relating to the **NWU calendar** and any other meeting timetables. Examination and class timetables are managed in series 7.
- **Subseries 16** is used for the management of records relating to **official ceremonies** of the NWU, including inaugural lectures, but excluding graduation ceremonies. A case file is opened for the specific ceremony and referenced by number/organizational entity-ceremony. Graduation ceremonies are managed in subseries 7.1.12.
- **Subseries 17** is used for the management of records relating to **special management awards** of the NWU. Any award not awarded by a committee is files in this series. All other awards are filed with the committee records of the committee doing the award.
- **Subseries 18** is used for the management of records relating to **HIV/AIDS management**. Records in this series are managed in adherence with the *HIV/AIDS Policy (2P_2.18)*.
- **Subseries 19** is used for the management of records relating to **operational management**.
- **Subseries 20** is used for the management of records relating to **archives management**. Records in this series are managed in adherence with the *Archives, Museums and Collections Policy (2P_2.12)*.
- **Subseries 21** is used for the management of records relating to **museums and collections management**. Records in this series are managed in adherence with the *Archives, Museums and Collections Policy (2P_2.12)*.
- **Subseries 22** is used for the management of records relating to **health care**. Records in this series are managed in adherence with the *Primary Health Care Policy (2P_2.22)*.

| Number | Policies |
|--------|---|
| 2P | 2P_2.1.3 Policy on the generation and approval of Rules, Policies and Procedures 2P_2.3 Quality Policy 2P_2.4.2.2 Policy for the Management of Research and Innovation Contracts and External Investments/Stakeholding 2P_2.4.3.2 Policy on Academic Integrity 2P_2.5 Language Policy 2P_2.7.3 Human Rights Policy 2P_2.8 Global Engagement Policy 2P_2.8 Policy on the awarding of Collaborative Degrees 2P_2.9.6 Policy for reporting irregularities and maladministration 2P_2.9.7 Risk and Compliance Policy 2P_2.11 Records, Archives and Museum Management Policy 2P_2.12 Policy on Archives, Museums and Special Collections 2P_2.12.5.5 Policy on Business Continuity 2P_2.13 Library and Information Services Policy 2P_2.13.1 Open Access Policy 2P_2.18 HIV/AIDS Policy for Staff and Students |

| Number | Policies |
|--------|--|
| | 2P_2.22 Primary Health Care Policy 2P_2.25 Policy and Rules on conflict of interest and on declaration of interest and of gifts Disposal of the original: A after approval as part of Council records Office responsible for the original: Corporate Information and Governance Services Other offices' disposal: D after update/revision |

| Number | Procedures, Manuals, Guidelines and Strategies |
|--------|--|
| 2Pr | 2Pr_2.3 Rules – Quality enhancement 2Pr_2.9.7_BCP Rules – Business Continuity Management and Administration 2Pr_2.16.1_ Guidelines for Inaugural lectures 2Pr_2.5 Student Life Language Plan Disposal of original: D5 after update/revision Office responsible for original: Manager in the specific division/process owner Other offices' disposal: D after update/revision. |

| Ref # | Description of record | Disposal of original | Office responsible for record | Other offices | Classification of information | Contains personal information? |
|------------|---|----------------------|---|---------------|-------------------------------|--------------------------------|
| 2.1 | Strategic Planning and Reporting | | | | | |
| 2.1.1 | Vision, Mission and Values | A after approval | Director or manager responsible for formulation | D1 | 1 | N |
| 2.1.2 | <u>Plans</u> | | | | | |
| 2.1.2.1 | Institutional Plan <i>Referenced by number and year, e.g. 2.1.2.1_2008</i> | A after approval | Director: Office of the Vice-Chancellor | D1 | 1 | N |
| 2.1.2.2 | Campus Plan <i>Referenced by number and authority abbreviation and date, e.g. 2.1.2.2_P_2020</i> | A after approval | Campus Directors | D1 | 2 | N |
| 2.1.2.3 | Faculty/School/Unit <i>Referenced by number and authority abbreviation, e.g. 2.1.2.3_FNAS</i> | A after approval | Executive Dean, School Director and Manager of Unit | D1 | 2 | N |
| 2.1.2.4 | Support departments <i>Referenced by number and authority abbreviation, e.g. 2.1.2.4_RAM</i> | A after approval | Directors and managers of the support departments | D1 | 2 | N |
| 2.1.2.5 | Enrolment planning | A after approval | Director: Office of the Vice-Chancellor | D1 | 2 | N |

| Ref # | Description of record | Disposal of original | Office responsible for record | Other offices | Classification of information | Contains personal information? |
|--------------|---|--|---|---------------|-------------------------------|--------------------------------|
| 2.1.2.6 | External annual report <i>Annual reports of Faculties, departments, committees, etc. to external parties</i> | A after approval | Manager responsible for disclosing the report to the external party | D1 | 3 | N |
| 2.1.3 | Policy development and review <i>Files are referenced by number and proposed policy number, e.g. 2.1.3_3P_3.9</i> 2.1.3.1 Development 2.1.3.2 Review | A after policy approval | 2.1.3.1 – Department where the policy originates 2.1.3.2 – Corporate Information and Governance Services | D1 | 3 | N |
| 2.1.4 | Benchmarking <i>Records are referenced by number and authority abbreviation, e.g. 2.1.4_RAM</i> | D3 | Officer responsible for the benchmarking exercise | D1 | 3 | N |
| 2.1.5 | Reporting 2.1.5.1 UMC Reports to Council 2.1.5.2 Monthly progress report 2.1.5.3 Quarterly progress report 2.1.5.4 Annual reporting 2.1.5.5 Other managerial reporting <i>Reports are referenced by the number and authority abbreviation, e.g. 2.1.5.3_RAM</i> | 2.1.5.1 – A as part of Council Committee's records 2.1.5.2 – 2.1.5.5 – A1 Records to be kept in safe and secure storage until transfer to the NWU Archives occur | 2.1.5.1 – Council secretariat 2.1.5.2 – 2.1.5.5 – Relevant Director/Manager | D1 | 3 | N |
| 2.2 | Management Structures | | | | | |
| 2.2.1 | Model and organisational structures 2.2.1.1 Support functions 2.2.1.2 Core functions: Teaching-learning, research and implementation of expertise. <i>Structures are referenced by the number and authority abbreviation, e.g. 2.2.1_RAM</i> | A | Directors/Managers of the NWU | D1 | 3 | Y |
| 2.2.2 | Committee structures | | | | | |
| | Management structures records <u>The records listed below applies to all management structures listed in the NWU File plan and disposal schedule. New management structures will be added when these are registered</u> <i>These records will be referenced as NWU File Reference number_Committee Abbreviation_Date, e.g. 2.2.2.0.5_IMCom_20210118</i> | | | | | |
| | 2.2.2.2.1 Terms of Reference 2.2.2.2.2 Membership list 2.2.2.2.3 Agendas 2.2.2.0.3.1 Agenda cover page 2.2.2.2.4 Minutes 2.2.2.2.5 Attendance Register 2.2.2.6 Correspondence 2.2.2.2.6 Membership matters 2.2.2.2.6.1 Rules for elections | A1 – Records must be kept in safe and secure storage for a period of one (1) year and then transferred to the NWU Archives by means of the transfer procedure | Coordination of the relevant committee/structure and/or secretariat and/or minute taker (office of the Director: CIGS). | D1 | 3 | Y |

| | | | | | | |
|--|--|--|--|--|--|--|
| | 2.2.2.2.6.2 Nomination forms 2.2.2.2.6.3 Ballot papers 2.2.2.2.6.4 Appointment letters 2.2.2.2.6.5 Signatures (if applicable) 6.4.2 Photos (if applicable) B_1_3 CV 2.2.2.0.8 Awards 2.2.2.2.8 Reports (AT to confirm) | | | | | |
| | <u>The following are recognized and/or registered management structures and/or committees of the NWU with the accepted abbreviation in brackets</u> University Management Committee (UMC) Campus Management Committee (CMC) Vice-Chancellor and Directors Meeting (VCDM) Senior Management Committees (SMCO) Extended Registrar's Forum (EXREG) Bursaries and Loans Committees (BLC) Working Committee for Facilities (WCFAC) Project Committee (PROJ) Certification Committee (CertCo) House Parents Committee (HPCO) HIV/AIDS Committee (HIVCO) Faculty Board Exco (FBEX + Faculty reference as per the Authority list) Faculty Management Committee (FMC + Faculty reference as per Authority list) School Directors Meeting (SD + School reference as per the Authority list) Support Director/Manager Meeting (SDM + department reference as per the Authority list) Internal Faculty Committees (FC + Faculty reference as per the Authority list) Budget Committee Meetings (BDGCO) Sports code/residence sports meetings (SPC + Sport code/residence name) Culture group/society meetings (CG + culture group/society name) Health and Wellness (Coordinating) Committee (HWCO) Capacity Building Committee (CBC) Quality Assurance Committee (QAC) Quality Improvement Committees (QIC) External Funding Committees (EFC) Deans' Committees (DC + Faculty reference as per the Authority list) IT Advisory Board (ITAB) Combined Assurance Forum (CAF) Campus Residence Meetings (CRM + Residence Name) Branding, marketing, communication & Advancement Committee (BMCA) Advancement Project & Evaluation Committee (APEC) Alumni Association (ALUMNA) Management meetings with external entities (EXT + external entity name) Integrated planning and Reporting Technical Committee (IPRTC) | | | | | |

| | Student Academic Lifecycle Administrations Committee (SALAC) Finance Management Committee (FINMC) Academic Promotions Committee (APC) Compliance Committee (CompC) UMCSRC Committee (UMCSRC) Registered Ethics Committees (ETH + Committee Name) Non-Registered Ethics Committees (NETH + Committee Name) AUTHeR Scientific Committees (AUTSC) TIA Seed Committee (TIASEED) MERSETA Committee (MERSETA) Promotions Revisions Committee (PromRev) Information Technology Committee (ITComm) Information Management Committee (IMComm) Student Diversity and Transformation Committee (SDTC) All Faculties, Schools, departments, divisions and sections as indicated in the NWU Authority list. | | | | | |
|-----------|--|---|---|--|-------------------------------|--------------------------------|
| Ref # | Description of record | Disposal of original | Office responsible for record | Other offices | Classification of information | Contains personal information? |
| 2.2.3 | Service level agreements | D5 | Manager responsible for the service level agreement | D1 | 3 | Y |
| 2.2.4 | Standard Operation Procedures (SOP) | D3 | Manager responsible for the SOP | D1 | 3 | Y |
| 2.2.5 | Confidentiality agreements | D3 | Manager responsible for the agreement | D1 | 4 | Y |
| 2.3 | Quality management | | | | | |
| 2.3.1 | Academic Quality Management | | | | | |
| 2.3.1.1 | Faculty Quality Manuals <i>Individual quality manuals are referenced by number and authority abbreviation, e.g. 2.3.1.1_LAW</i> 2.3.1.1.1 Guide for completing the Faculty Quality Manual 2.3.1.1.1.1 Template | A5 – Electronic version of the manual must be transferred to the NWU Archives | Faculty Quality Officers | D after completion of 7-year audit cycle | 2 | N |
| 2.3.1.2 | Reports | A5 – Records must be kept in safe and secure storage until transfer to the NWU Archives occur | DVC: Planning and campus operations | D after completion of 7-year audit cycle | 3 | N |
| 2.3.1.2.3 | Improvement plans | A5 – Records must be kept in safe and secure storage until transfer to the NWU Archives occur | DVC: Planning and campus operations | D after completion of 7-year audit cycle | 3 | N |

| Ref # | Description of record | Disposal of original | Office responsible for record | Other offices | Classification of information | Contains personal information? |
|-----------|--|---|-------------------------------------|--|-------------------------------|--------------------------------|
| 2.3.1.2.4 | Progress reports | A5 – Records must be kept in safe and secure storage until transfer to the NWU Archives occur | DVC: Planning and campus operations | D after completion of 7-year audit cycle | 3 | N |
| 2.3.1.2.5 | Status of historic and future IPE's | A5 – Records must be kept in safe and secure storage until transfer to the NWU Archives occur | DVC: Planning and campus operations | D after completion of 7-year audit cycle | 3 | N |
| 2.3.1.2.6 | Training | A5 – Records must be kept in safe and secure storage until transfer to the NWU Archives occur | DVC: Planning and campus operations | D after completion of 7-year audit cycle | 3 | N |
| 2.3.1.3 | External Programme Evaluations (EPE) | | | | | |
| 2.3.1.3.1 | 2.3.1.3.1.1 Guides and questionnaire 2.3.1.3.1.2 Undergraduate and HONS Questionnaire 2.3.1.3.1.3 Structured Masters questionnaire 2.3.1.3.1.4 EPE Portfolio | A5 – Records must be kept in safe and secure storage until transfer to the NWU Archives occur | DVC: Planning and campus operations | D after completion of 7-year audit cycle | 3 | N |
| 2.3.1.3.2 | <u>Evaluations reports</u> 2.3.1.3.2.1 Preliminary report: Template Undergraduate 2.3.1.3.2.2 Preliminary report: Template Postgraduate 2.3.1.3.2.3 Acceptance template | A5 – Records must be kept in safe and secure storage until transfer to the NWU Archives occur | DVC: Planning and campus operations | D after completion of 7-year audit cycle | 3 | N |
| 2.3.1.3.3 | Improvement plans | A5 – Records must be kept in safe and secure storage until transfer to the NWU Archives occur | DVC: Planning and campus operations | D after completion of 7-year audit cycle | 3 | N |
| 2.3.1.3.4 | Progress reports | A5 – Records must be kept in safe and secure storage until transfer to the NWU Archives occur | DVC: Planning and campus operations | D after completion of 7-year audit cycle | 3 | N |
| 2.3.1.3.5 | <u>Status of historic and future EPE's</u> 2.3.1.3.5.1 List of EPE panel members | A5 – Records must be kept in safe and secure storage until transfer to the NWU Archives occur | DVC: Planning and campus operations | D after completion of 7-year audit cycle | 3 | N |

| Ref # | Description of record | Disposal of original | Office responsible for record | Other offices | Classification of information | Contains personal information? |
|----------------|---|---|-------------------------------------|--|-------------------------------|--------------------------------|
| 2.3.1.3.6 | <u>Post-External Evaluations (Post-EPE)</u> 2.3.1.3.6.1 Guides 2.3.1.3.6.3 Improvement Plans 2.3.1.3.6.4 Progress Reports 2.3.1.3.6.4.1 Mid-cycle progress report 2.3.1.3.6.4.2 Full-cycle progress report 2.3.1.3.6.4.3 Full-cycle improvement report 2.3.1.3.6.5 Status of historic and future EPE's | A5 – Records must be kept in safe and secure storage until transfer to the NWU Archives occur | DVC: Planning and campus operations | D after completion of 7-year audit cycle | 3 | N |
| 2.3.1.3.7 | Training | A5 – Records must be kept in safe and secure storage until transfer to the NWU Archives occur | DVC: Planning and campus operations | D after completion of 7-year audit cycle | 3 | N |
| 2.3.1.4 | National and international programme reviews | | | | | |
| 2.3.1.4.1 | Guides | A5 – Records must be kept in safe and secure storage until transfer to the NWU Archives occur | Executive Dean of the Faculty | D after completion of 7-year audit cycle | 3 | N |
| 2.3.1.4.2 | Reports | A5 – Records must be kept in safe and secure storage until transfer to the NWU Archives occur | Executive Dean of the Faculty | D after completion of 7-year audit cycle | 3 | N |
| 2.3.1.4.3 | Improvement plans | A5 – Records must be kept in safe and secure storage until transfer to the NWU Archives occur | Executive Dean of the Faculty | D after completion of 7-year audit cycle | 3 | N |
| 2.3.1.4.4 | Progress reports | A5 – Records must be kept in safe and secure storage until transfer to the NWU Archives occur | Executive Dean of the Faculty | D after completion of 7-year audit cycle | 3 | N |
| 2.3.1.4.5 | Status of historic and future reviews | A5 – Records must be kept in safe and secure storage until transfer to the NWU Archives occur | Executive Dean of the Faculty | D after completion of 7-year audit cycle | 3 | N |
| 2.3.1.5 | Statutory/non-statutory councils | | | | | |
| 2.3.1.5.1 | Reports | A5 – Records must be kept in safe and secure storage until transfer to the NWU Archives occur | Executive Dean of the Faculty | D after completion of 7-year audit cycle | 3 | N |

| Ref # | Description of record | Disposal of original | Office responsible for record | Other offices | Classification of information | Contains personal information? |
|-----------|---|---|-------------------------------|--|-------------------------------|--------------------------------|
| 2.3.1.5.3 | Improvement plans | A5 – Records must be kept in safe and secure storage until transfer to the NWU Archives occur | Executive Dean of the Faculty | D after completion of 7-year audit cycle | 3 | N |
| 2.3.1.5.5 | Status of historic and future reviews | A5 – Records must be kept in safe and secure storage until transfer to the NWU Archives occur | Executive Dean of the Faculty | D after completion of 7-year audit cycle | 3 | N |
| 2.3.1.6 | Internal Aligned Programme Evaluation (IAPE) | | | | | |
| 2.3.1.6.1 | <u>Guides and questionnaires</u> 2.3.1.6.1.1 Guidelines for completing the questionnaire for IAPE 2.3.1.6.1.2 Compiling programme Documentation 2.3.1.6.1.3 List of possible evidence of IAPE 2.3.1.6.1.4 Undergraduate and HONS Questionnaire 2.3.1.6.1.5 Structured master's questionnaire 2.3.1.6.1.6 Subject programme evaluation | A5 – Records must be kept in safe and secure storage until transfer to the NWU Archives occur | Director: Quality Office | D after completion of 7-year audit cycle | 3 | N |
| 2.3.1.6.2 | Reports | A5 – Records must be kept in safe and secure storage until transfer to the NWU Archives occur | Director: Quality Office | D after completion of 7-year audit cycle | 3 | N |
| 2.3.1.6.3 | Improvement plans | A5 – Records must be kept in safe and secure storage until transfer to the NWU Archives occur | Director: Quality Office | D after completion of 7-year audit cycle | 3 | N |
| 2.3.1.6.4 | Progress reports | A5 – Records must be kept in safe and secure storage until transfer to the NWU Archives occur | Director: Quality Office | D after completion of 7-year audit cycle | 3 | N |
| 2.3.1.6.5 | Status of historic and future IAPE's | A5 – Records must be kept in safe and secure storage until transfer to the NWU Archives occur | Director: Quality Office | D after completion of 7-year audit cycle | 3 | N |
| 2.3.1.6.7 | Training | A5 – Records must be kept in safe and secure storage until transfer to the NWU Archives occur | Director: Quality Office | D after completion of 7-year audit cycle | 3 | N |

| Ref # | Description of record | Disposal of original | Office responsible for record | Other offices | Classification of information | Contains personal information? |
|----------------|---|---|--|--|-------------------------------|--------------------------------|
| 2.3.1.7 | External Aligned Programme Evaluation | | | | | |
| | <u>2.3.1.7.1 Guides and questionnaires</u> 2.3.1.7.1.1 Guides 2.3.1.7.1.2 Undergraduate and HONS Aligned Questionnaire 2.3.1.7.1.3 Reports | A5 – Records must be kept in safe and secure storage until transfer to the NWU Archives occur | Director: Quality Office | D after completion of 7-year audit cycle | 3 | N |
| 2.3.1.8 | Internal Programme Evaluation (Masters and PhD) | | | | | |
| | <u>2.3.1.8.1 Guides and questionnaires</u> 2.3.1.8.1.1 Guides 2.3.1.8.1.2 Questionnaire 2.3.1.8.1.3 Programme feedback questionnaire | A5 – Records must be kept in safe and secure storage until transfer to the NWU Archives occur | Director: Quality Office | D after completion of 7-year audit cycle | 3 | N |
| 2.3.1.9 | External Programme Evaluation (Masters and PhD) | | | | | |
| | <u>2.3.1.9.1 Guides and questionnaires</u> 2.3.1.9.1.1 Guide 2.3.1.9.1.2 Questionnaire | A5 – Records must be kept in safe and secure storage until transfer to the NWU Archives occur | Director: Quality Office | D after completion of 7-year audit cycle | 3 | N |
| 2.3.2 | Support Departments Quality Management | | | | | |
| 2.3.2.1 | <u>Guides and questionnaires</u> 2.3.2.1.1 Guide for self-evaluation 2.3.2.1.2 Questionnaire for self-evaluation 2.3.2.1.3 Guide for peer evaluation 2.3.2.1.4 Questionnaire for peer evaluation 2.3.2.1.5 Process document for post-peer Evaluation 2.3.2.1.6 Portfolio for peer evaluation 2.3.2.1.7 Questionnaire for self-evaluation of soft reviews | A5 – Records must be kept in safe and secure storage until transfer to the NWU Archives occur | Director: Quality Office | D after completion of 7-year audit cycle | 3 | N |
| 2.3.2.2 | <u>Evaluation reports</u> 2.3.2.2.1 Self-evaluation 2.3.2.2.2 Peer evaluation 2.3.2.2.3 Soft review 2.3.2.2.4 Post-peer Evaluation 2.3.2.2.5 Template for accepting report | A5 – Records must be kept in safe and secure storage until transfer to the NWU Archives occur | Director: Quality Office | D after completion of 7-year audit cycle | 3 | N |
| 2.3.2.3 | Improvement plans <i>Individual reports are referenced by number and authority abbreviation, e.g. 2.3.2.4_RAM</i> | A5 – Records must be kept in safe and secure storage until transfer to the NWU Archives occur | Director/Manager of support department | D after completion of 7-year audit cycle | 3 | N |

| Ref # | Description of record | Disposal of original | Office responsible for record | Other offices | Classification of information | Contains personal information? |
|--------------|--|---|--|--|-------------------------------|--------------------------------|
| 2.3.2.4 | Progress reports <i>Individual reports are referenced by number and authority abbreviation, e.g. 2.3.2.4_RAM</i> | A5 – Records must be kept in safe and secure storage until transfer to the NWU Archives occur | Director/Manager of support department | D after completion of 7-year audit cycle | 3 | N |
| 2.3.2.5 | Status of historic and future evaluations 2.3.2.5.1 List of panel members | A5 – Records must be kept in safe and secure storage until transfer to the NWU Archives occur | Director/Manager of support department | D after completion of 7-year audit cycle | 3 | N |
| 2.3.2.6 | <u>Quality Manual</u> 2.3.2.6.1 Guide 2.3.2.6.2 Status of manuals <i>Individual quality manuals are referenced by number and authority abbreviation, e.g. 2.3.2.6_RAM</i> | A5 – Records must be kept in safe and secure storage until transfer to the NWU Archives occur | Director/Manager of support department | D after completion of 7-year audit cycle | 3 | N |
| 2.3.2.7 | Status of support departments | A5 – Records must be kept in safe and secure storage until transfer to the NWU Archives occur | Director/Manager of support department | D after completion of 7-year audit cycle | 3 | N |
| 2.3.2.8 | Feedback 2.3.2.8.1 Questionnaire 2.3.2.8.2 Feedback report | A5 – Records must be kept in safe and secure storage until transfer to the NWU Archives occur | Director/Manager of support department | D after completion of 7-year audit cycle | 3 | N |
| 2.3.3 | Institutional Quality Audit (HEQC) | | | | | |
| 2.3.3.1 | Self-evaluation report | A2 – Records must be kept in safe and secure storage until transfer to the NWU Archives occur | Director: Quality Office | D after completion of 7-year audit cycle | 3 | N |
| 2.3.3.2 | <u>Gap register</u> 2.3.3.2.1 Gaps closure | A2 – Records must be kept in safe and secure storage until transfer to the NWU Archives occur | Director: Quality Office | D after completion of 7-year audit cycle | 3 | N |
| 2.3.3.3 | NWU Feedback register | D6 months after receipt of HEQC Audit report from HEQC | Director: Quality Office | D after completion of 7-year audit cycle | 3 | N |

| Ref # | Description of record | Disposal of original | Office responsible for record | Other offices | Classification of information | Contains personal information? |
|---------|---|---|--|--|-------------------------------|--------------------------------|
| 2.3.3.4 | HEQC Audit Report | A5 – Records must be kept in safe and secure storage until transfer to the NWU Archives occur | Director/Manager of support department | D after completion of 7-year audit cycle | 3 | N |
| 2.3.3.5 | Improvement plan | A5 – Records must be kept in safe and secure storage until transfer to the NWU Archives occur | Director/Manager of support department | D after completion of 7-year audit cycle | 3 | N |
| 2.3.3.6 | Follow up (report, visit, etc.) | A5 – Records must be kept in safe and secure storage until transfer to the NWU Archives occur | Director/Manager of support department | D after completion of 7-year audit cycle | 3 | N |
| 2.3.3.7 | HEQC training | A5 – Records must be kept in safe and secure storage until transfer to the NWU Archives occur | Director/Manager of support department | D after completion of 7-year audit cycle | 3 | N |
| 2.3.4 | <u>Institutional Research reports</u> 2.3.4.1 Reports to UMC 2.3.4.2 Reports to CMC 2.3.4.3 Reports to Senate 2.3.4.4 Reports to Council 2.3.4.5 Reports to HECQ | A5 – Records must be kept in safe and secure storage until transfer to the NWU Archives occur | Director/Manager of support department | D after completion of 7-year audit cycle | 3 | N |
| 2.3.5 | <u>Short Courses</u> 2.3.5.1.1 Guides and questionnaires (internal) 2.3.5.1.2 Reports (internal) 2.3.5.1.3 Improved plans (internal) 2.3.5.1.4 Guides and questionnaires (external) 2.3.5.1.5 Reports (external) 2.3.5.1.6 Improvement plans (external) | A5 – Records must be kept in safe and secure storage until transfer to the NWU Archives occur | Director/Manager of support department | D after completion of 7-year audit cycle | 3 | N |

| Ref # | Description of record | Disposal of original | Office responsible for record | Other offices | Classification of information | Contains personal information? |
|--------------|---|--|-------------------------------|--|-------------------------------|--------------------------------|
| 2.4 | Legal matters | | | | | |
| 2.4.1 | <u>Contracts and agreements management</u> <ul style="list-style-type: none"> • Addendum • Agreement • Cooperation agreement • Material transfer agreement • Memorandum of understanding • Non-disclosure agreement • Research agreement • Service level agreement • Study assistance agreement • Tender agreement • Other <i>Contracts and agreements are referenced by the type followed by the name of the other party and a numerical identifier, e.g. 2.4.1_MOU_SASOL_1</i> | Government contracts – D30 after date of expiry All other contracts – D5 after date of expiry | Legal services | D5 after date of expiry | 3 | Y |
| 2.4.2 | Intellectual property management (this series is used for the legal aspects of intellectual property. For other aspect refer to 1.1.10/10.1/10.6) | | | | | |
| 2.4.2.1 | Trademark portfolio | A2 after every update | Legal services | D2 after every update | 3 | N |
| 2.4.2.2 | <u>Agreements</u> | | | | | |
| 2.4.2.3 | <u>Patents</u> 2.4.2.3.1 Cooperation treaty 2.4.2.3.2 Application/Registration 2.4.2.3.3 Investigation correspondence 2.4.2.3.4 Renewals 2.4.2.3.5 Prosecuting 2.4.2.3.6 Portfolio | A5 after lapse of patent | Legal services | D3 | 3 | N |
| 2.4.2.4 | <u>Commercialisation</u> 2.4.2.4.1 Venture capital 2.4.2.4.2 Licensing agreements 2.4.2.4.3 Spin-off companies 2.4.2.4.4 Tantième | D5 after lapse of IP | Legal services | D3 | 3 | Y |
| 2.4.3 | <u>Copyright Management</u> 2.4.3.1 Dalro/Samro matters 2.4.3.2 Plagiarism issues <i>Files are opened with reference made to plagiarism issue, e.g. 2.4.3.2_Smith</i> | A1 after amendments | Legal services | No records to be kept by other offices | 2 | Y |

| Ref # | Description of record | Disposal of original | Office responsible for record | Other offices | Classification of information | Contains personal information? |
|---------|--|---|--|--|-------------------------------|--------------------------------|
| 2.4.4 | <u>Litigation</u> <i>A file is opened for each litigation case, and referenced 2.4.4_name of the counterparty, e.g. 2.4.4_Smith Should litigation have a contract as source, reference is made to the relevant contract as referenced under contracts, e.g. 2.4.4_2.4.1.2_SASOL_1</i> | A5 after finalization | Legal services | No records to be kept by other offices | 4 | Y |
| 2.4.5 | <u>Company law management</u> | | | | | |
| 2.4.6 | Legal advice <i>Files are opened with reference made to the subject on which advice was sought, e.g. 2.4.6_Contract_Disposal</i> | D5 after finalization | Legal services | No records to be kept by other offices | 4 | Y |
| 2.4.7 | Legal disclaimers/Indemnity forms | D3 | Department/School/Faculty/Unit who requires the disclaimer | No records to be kept by other offices | 4 | Y |
| 2.4.8 | <u>Properties</u> 2.4.8.1 Title Deeds 2.4.8.2 Deed of sale/Contract of sale 2.4.8.3 Mortgage bond | A1 after date of transaction | Legal services | No records to be kept by other offices | 4 | Y |
| | <u>For matter relating to:</u> Staff discipline refer to 3.13 Student discipline refer to 7.3.8 | | | | | |
| 2.5 | <u>Language management</u> | | | | | |
| 2.5.1 | <u>Language policy management and implementation</u> | | | | | |
| 2.5.1.1 | Language audit | A1 – Records must be kept in safe and secure storage until transfer to the NWU Archives occur | Manager of the Language Directorate | No records to be kept by other offices | 3 | N |
| 2.5.1.2 | Policy planning reports | A1 – Records must be kept in safe and secure storage until transfer to the NWU Archives occur | Manager of the Language Directorate | No records to be kept by other offices | 3 | N |
| 2.5.1.3 | Policy management process <i>Matters are filed according to campus and process involvement, e.g. 2.5.1.3_V_RAM</i> | P in office of origin | Manager of the Language Directorate | No records to be kept by other offices | 3 | N |
| 2.5.1.4 | Ombuds matter <i>Matters are dealt with as case files and referenced 2.5.1.4C_name_of-matter, e.g. 2.5.1.4C_Parking_disks_2021</i> | A1 – Records must be kept in safe and secure storage until transfer to the NWU Archives occur | Manager of the Language Directorate | No records to be kept by other offices | 3 | N |

| Ref # | Description of record | Disposal of original | Office responsible for record | Other offices | Classification of information | Contains personal information? |
|--------------|---|---|--|--|-------------------------------|--------------------------------|
| 2.5.1.5 | Academic literary | P in office of origin | Manager of the Language Directorate | No records to be kept by other offices | 3 | N |
| 2.5.1.6 | Multilingualism pilot projects <i>Matters are dealt with as case files and referenced 2.5.1.6_name_of_project, e.g. 2.5.1.6_TransTips</i> | P in office of origin | Manager of the Language Directorate | No records to be kept by other offices | 3 | N |
| 2.5.1.7 | Business information provision <i>Referenced with 2.5.1.7_date_dept provided, e.g. 2.5.1.7_2008_CAR</i> | P in office of origin | Manager of the Language Directorate | No records to be kept by other offices | 3 | N |
| 2.5.2 | Language services | | | | | |
| 2.5.2.1 | Translation <i>These are open files but should contain related information</i> | P in office of origin | Head: Language Services | No records to be kept by other offices | 3 | N |
| 2.5.2.2 | Editing <i>These are open files but should contain related information</i> | P in office of origin | Head: Language Services | No records to be kept by other offices | 3 | N |
| 2.5.2.3 | Corporate Interpreting <i>These are open files but should contain related information</i> | P in office of origin | Head: Language Services | No records to be kept by other offices | 3 | N |
| 2.5.3 | Educational interpretation services | | | | | |
| 2.5.3.1 | Status reports <i>Reports are filed according to number and programme</i> | P in office of origin | Manager: Education Interpretation Services | No records to be kept by other offices | 3 | N |
| 2.5.3.2 | Running processes <i>Planning reports are filed according to number and module, e.g. 2.5.3.2_FTHP111 and includes records such as timetables and study guides</i> | P in office of origin | Manager: Education Interpretation Services | No records to be kept by other offices | 3 | N |
| 2.5.3.3 | <u>Interpreter administration</u> 2.5.3.3.1 Manual 2.5.3.3.2 Diary 2.5.3.3.3 Terminology list <i>Administration is dealt with as a case file and referenced 2.5.3.3C_surname and initials of interpreter, e.g. 2.5.3.3C_Smith_R</i> | 2.5.3.1.1 – D3 after new version 2.5.3.3.2 – D3 2.5.3.3.3 – P in office of origin | Manager: Education Interpretation Services | No records to be kept by other offices | 3 | Y |
| 2.5.3.4 | Assessment of interpreters <i>Referenced with 2.5.3.4_surname and initials of interpreter, e.g. 2.5.3.4_Smith_R</i> | D5 after date of assessment | Researcher in the Language Directorate | No records to be kept by other offices | 4 | Y |
| 2.5.3.5 | System administration and reports (data gathering) | P on system | UniList Manager: Educational Interpreting services | No records to be kept by other offices | 3 | N |

| Ref # | Description of record | Disposal of original | Office responsible for record | Other offices | Classification of information | Contains personal information? |
|--------------|--|--|---------------------------------|--|-------------------------------|--------------------------------|
| 2.5.4 | <u>Commercialisation of language expertise</u> | | | | | |
| 2.5.4.1 | Language consultation projects <i>Matters are dealt with as case files and referenced 2.5.4.1C_name of project, e.g. 2.5.4.1_Marlene</i> | P in office of origin | Director: Language Directorate | No records to be kept by other offices | 3 | N |
| 2.5.4.2 | External training: Short courses | P in office of origin | Head: Language services | No records to be kept by other offices | 3 | N |
| 2.5.4.3 | Internal training: Educational interpreters | P in office of origin | Head: Language services | No records to be kept by other offices | 3 | N |
| 2.5.5 | <u>Research in language matters</u> 2.5.5.1 Data 2.5.5.2 DTS Research 2.5.5.3 Students 2.5.5.4 Research administration 2.5.5.5 Articles | P in office of origin | Director: Language Directorate | No records to be kept by other offices | 3 | N |
| 2.6 | <u>Management Information</u> | | | | | |
| 2.6.1 | <u>Management Information Systems</u> | | | | | |
| 2.6.1.1 | Data Warehouse reports <i>Referenced 2.6.1.1_Name of report, e.g. 2.6.1.1_Performance indicators</i> | P on MIS system | Director: Strategic Information | No records to be kept by other offices | 3 | N |
| 2.6.1.2 | System administration 2.6.1.2.1 Manuals/Procedures | P on MIS system | Director: Strategic Information | No records to be kept by other offices | 3 | N |
| 2.6.1.3 | <u>HEMIS reporting</u> 2.6.1.3.1 Students 2.6.1.3.2 Staff (Timesheets) 2.6.1.3.3 Space | Reports and acknowledgement of receipt – A after submission to DHET Correspondence – D3 | Director: Strategic Information | No records to be kept by other offices | 3 | Y |
| 2.6.1.4 | Department of Higher Education and Training enquiries <i>Referenced by 2.6.1.4_serial number of enquiry and year, e.g. 2.6.1.4_111_2021</i> | D30 | Director: Strategic Information | No records to be kept by other offices | 3 | Y |
| 2.6.1.5 | Ad hoc enquiries <i>Referenced by 2.6.1.5_name of department listing enquiry and date, e.g. 2.6.1.5_RAM_20210118</i> | D3 | Director: Strategic Information | No records to be kept by other offices | 3 | N |

| Ref# | Description of record | Disposal of original | Office responsible for record | Other offices | Classification of information | Contains personal information? |
|---|---|---|--|--|-------------------------------|--------------------------------|
| 2.6.2 | Faculty profiles | A when finalized and printed. Copy to NWU Quality office | Deputy Vice-Chancellors | No records to be kept by other offices | 3 | N |
| 2.6.3 | Statistics | D3 | Director: Strategic Information | No records to be kept by other offices | 3 | N |
| 2.7 | Transformation Management | | | | | |
| 2.7.1 | <u>Diversity management</u> 2.7.1.1 Interventions/programmes <i>A case file is opened for each intervention and referenced by number and name of intervention, e.g. 2.7.1.1C_Industrial_Theatre</i> 2.7.1.2 Reports 2.7.1.3 Plans | A1 – Records must be kept in safe and secure storage until transfer to the NWU Archives occur. | Director: Diversity, Equity and Human Rights | No records to be kept by other offices | 3 | N |
| 2.7.2 | <u>Equity Management</u> 2.7.2.1 Dept. of Labour plan 2.7.2.2 Dept. of Labour reports 2.7.2.3 Annual targets to Dept of Labour | A1 – Records must be kept in safe and secure storage until transfer to the NWU Archives occur. | Director: Diversity, Equity and Human Rights | No records to be kept by other offices | 3 | Y |
| Employment equity is referenced 3.14 and 1.1.6 depending on the nature of the record. | | | | | | |
| 2.7.3 | <u>Human Rights Management</u> 2.7.3.1 Interventions/Programmes <i>A case file is opened for each intervention and referenced by number and name of intervention, e.g. 2.7.3.1_Sensitivity</i> 2.7.3.2 Violation reporting and investigations <i>A case file is opened and referenced by number and name of investigation, e.g. 2.7.3.1_Facebook</i> 2.7.3.3 Monitoring and assessment 2.7.3.4 Reports 2.7.3.5 Correspondence 2.7.3.6 Complaint Form 2.7.3.7 Complaints register | Record 2.7.3.1 & 2.7.3.3 A1 – Records must be kept in safe and secure storage until transfer to the NWU Archives Record 2.7.3.2 A5 after finalization Record 2.7.3.6 & 2.7.3.7 D7 | Director: Diversity, Equity and Human Rights | No records to be kept by other offices | 4 | Y |
| For records of the Human Rights Committee refer to 1.3 | | | | | | |

| Ref # | Description of record | Disposal of original | Office responsible for record | Other offices | Classification of information | Contains personal information? |
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| 2.7.4 | <u>Merger management</u> | A | Director: Office of the Vice-Chancellor | No records to be kept by other offices | 3 | N |
| 2.8 | <u>Internationalisation</u> | | | | | |
| 2.8.1 | <u>Administration of foreign students</u> <i>A case file is opened for each student and referenced by number, NWU number and country of origin, e.g.</i> 2.8.1C_12345678_Botswana 2.8.1.1 Medical report 2.8.1.2 Visitors permit 2.8.1.3 Permanent residence permit 2.8.1.4 Study permit 2.8.1.5 Residence permit 2.8.1.6 International sign-off form 2.8.1.7 Passport 2.8.1.8 Refugee 2.8.1.9 Asylum seeker 2.8.1.10 Proof of residence 2.8.1.11 Proof of medical aid 2.8.1.12 Visa 2.8.1.13 Correspondence 2.8.1.14 Invitation letter 2.8.1.15 Approval for postdoc fellow to not reside in RSA | Original records are kept by the NWU international office. A copy of some of these records are kept by SALA as part of the official student file for operational purposes. Short term students (max. six months) D1 after departure All other – D5 after termination of studies or date of departure whichever is later. | International Office | D5 after termination of studies (SALA) No records to be kept by other offices | 3 | Y |
| 2.8.2 | Database | P on system | International office | No records to be kept by other offices | 3 | Y |
| 2.8.3 | <u>International education opportunities</u> 2.8.3.1 Database of partner institutions 2.8.3.2 Work/study abroad period Administration 2.8.3.3 Visiting academics 2.8.3.4 International partnerships | D5 | International office | No records to be kept by other offices | 3 | Y |
| 2.8.4 | Collaboration | D5 | International office | No records to be kept by other offices | 3 | Y |
| | For international and inter-institutional agreements refer to 2.4.1.3 | | | | | |
| | For administration of foreign staff members refer to 3.2.1.2 | | | | | |

| Ref # | Description of record | Disposal of original | Office responsible for record | Other offices | Classification of information | Contains personal information? |
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| 2.9 | <u>Internal Audit</u> | | | | | |
| 2.9.1 | <u>Internal audit administration</u> 2.9.1.1 Audit plan 2.9.1.2 Charter 2.9.1.3 Core accountabilities 2.9.1.4 Contracts 2.9.1.5 Audit tracking records 2.9.1.6 Time sheets 2.9.1.7 Quality assessment 2.9.1.8 Audit library 2.9.1.9 Forms and templates | DAU5 | Director: Internal audit | No records to be kept by other offices | 3 | N |
| 2.9.2 | Reporting of audit activities | P in office of origin | Director: Internal audit | No records to be kept by other offices | 3 | N |
| 2.9.3 | <u>Audit work paper files</u> <i>A file per audit is opened for all audit assignments and relevant information related to an audit.</i> 2.9.3.3 Follow-up audits 2.9.3.4 Assurance audits 2.9.3.5 Ad-hoc assignment audits 2.9.3.6 Special investigation audit 2.9.3.7 Compliance audits 2.9.3.8 Verification audits 2.9.3.9 Year-end audits 2.9.3.10 Significant risk funding audits 2.9.3.11 Consultations 2.9.3.12 Continuous monitoring audits <i>A case file is referenced 2.9.3.3_alphabet letter and name of audit, e.g. 2.9.3.8a_Graduates</i> | DAU 5 These records are kept in electronic format | Director: Internal audit | No records to be kept by other offices | 2.9.3.6 – 4 Other – 3 | N |
| 2.9.4 | <u>Audit reports</u> 2.9.4.1 University management report 2.9.4.2 Audit-, Risk- and Compliance report 2.9.4.3 Follow-up reports 2.9.4.4 Assurance reports 2.9.4.5 Ad-hoc assignments 2.9.4.6 Special investigations 2.9.4.7 Compliance reports 2.9.4.8 Verification reports 2.9.4.9 Year-end reports 2.9.4.10 Significant control findings | 2.9.4.1 Part of UMC records (2.2.2) 2.9.4.2 Part of the ARCC (1.3) records 2.9.4.3 – DAU5 | Director: Internal audit | No records to be kept by other offices | 2.9.4.6 – 4 Other – 3 | N |

| | | | | | | |
|---------|--|--|---------------------------|---|--------------|--------------|
| | 2.9.4.11 Consultations 2.9.4.12 Continuous monitoring reports 2.9.4.14 Quality review | These records are kept in electronic format | | | | |
| 2.9.5 | Risk register of the NWU | DAU5 This record is kept in electronic format | Director: CIGS | No records to be kept by other offices | 3 | N |
| 2.9.6 | <u>Whistle-blow reporting</u> 2.9.6.1 Disclosure of information and Enquiries 2.9.6.2 Request to conduct a special Investigation | DAU5 | Director: Internal Audit | No records to be kept by other offices | 4 | N |
| 2.9.7 | Risk management | DAU5 | Director: CIGS | No records to be kept by other offices | 3 | N |
| 2.9.7.1 | <u>Business Continuity</u> 2.9.7.1 Business Continuity Plan | | | | | |
| 2.9.8 | Compliance monitoring | DAU5 | Director: Internal audit | No records to be kept by other offices | 3 | N |
| 2.9.9 | ACL projects | DAU5 | Director: Internal audit | No records to be kept by other offices | 3 | N |
| 2.9.10 | Internal controls | DAU5 | Director: Internal audit | No records to be kept by other offices | 3 | N |
| 2.9.11 | <u>Tender auditing/monitoring</u> 2.9.11.1 IA Tender certificates (referenced numerically, year, month and campus, e.g. 2.9.11.1_IA_2_2021_08_M) 2.9.11.2 IA Tender database | 2.9.11.1 DAU5 2.9.11.2 P on electronic system | Director: Internal audit | No records to be kept by other offices | 3 | N |
| 2.10 | Project management | | | | | |
| | <i>A case file is opened for each project and can contain the following records:</i> 2.10.1 Administration 2.10.2 Mandate 2.10.3 Planning 2.10.4 Progress reports 2.10.5 Project deliverables 2.10.6 Supporting documentation <i>A case file is references 2.10_project number/name</i> | D3 after completion of the project Consult with the University Archivist regarding the historical value of the projects | Project manager | No records to be kept by other offices | 3 | N |

| Ref # | Description of record | Disposal of original | Office responsible for record | Other offices | Classification of information | Contains personal information? |
|--------|---|---|-------------------------------|--|-------------------------------|--------------------------------|
| 2.11 | Records management | | | | | |
| 2.11.1 | NWU File plan and disposal schedule | A after updated version is published | Senior Records Officer | No records to be kept by other offices | 2 | N |
| 2.11.2 | <u>Disposal</u> 2.11.2.1 Destruction certificates 2.11.2.2 Authorities/Mandates 2.11.2.3 Destruction register 2.11.2.4 List of records for destruction 2.11.2.5 Application for destruction 2.11.2.6 Finalisation of destruction 2.11.2.7 Schedule for destruction 2.11.2.8 Source archival records | P in office of origin | Senior Records Officer | D1 | 3 | N |
| 2.11.3 | <u>Storage Room management</u> 2.11.3.1 <u>Survey</u> <i>A case file is opened for the annual survey and is referenced 2.11.3.1C_year, e.g. 2.11.3.1C_2021.</i> The case filial can contain the following records 2.11.3.1.1 Approval letter 2.11.3.1.2 Plan 2.11.3.1.3 Register 2.11.3.1.4 Report 2.11.3.2 Transfer 2.11.3.2.1 Forms 2.11.3.2.2 Lists 2.11.3.2.3 Register 2.11.3.2.4 Storage label 2.11.3.3 <u>Storage area visit</u> <i>A case file is opened for storage area visits and referenced 2.11.3.3C_campus_building/dept_storage area, e.g. 2.11.3.3C_V_FEDU_20170228</i> 2.11.3.3.1 Inspection form 2.11.3.3.2 Report | P in office of origin | Senior Records Officer | No records to be kept by other offices | 3 | N |
| 2.11.4 | <u>Training</u> 2.11.4.1 Registration form 2.11.4.2 Attendance register 2.11.4.3 Evaluation form 2.11.4.4 Confirmation of attendance | P in office of origin These records are kept in digital format | Senior Records Officer | No records to be kept by other offices | 3 | Y |

| Ref # | Description of record | Disposal of original | Office responsible for record | Other offices | Classification of information | Contains personal information? |
|-------------|---|--|-------------------------------|--|-------------------------------|--------------------------------|
| 2.11.5 | Performance management | P in office of origin | Senior Records Officer | No records to be kept by other offices | 3 | Y |
| 2.11.6 | E-records management <i>A digitisation project must be registered with the RAM department and will be referenced as case file 2.11.6C identifiable name year, e.g. 2.11.6C_academicrecords_1975</i> 2.11.6.1 Digitisation database 2.11.6.2 Planning of a digitisation project 2.11.6.3 Report of the project | P in office of origin | Senior Records Officer | No records to be kept by other offices | 3 | Y |
| 2.11.7 | Involvement | P in office of origin | Senior Records Officer | No records to be kept by other offices | 3 | Y |
| 2.11.8 | Records management assessment and monitoring review | P in office of origin | Senior Records Officer | No records to be kept by other offices | 3 | Y |
| 2.11.9 | Records management representatives | P in office of origin | Senior Records Officer | No records to be kept by other offices | 3 | Y |
| 2.12 | <u>Archives Management</u> | | | | | |
| 2.12.1 | <u>Appraisal</u> | | | | | |
| 2.12.1.1 | Request received | D1 | Archivist | No records to be kept by other offices | 3 | Y |
| 2.12.1.2 | Appraisal worksheets | D3 | Archivist | No records to be kept by other offices | 3 | N |
| 2.12.1.3 | Appraisal checklist | D3 | Archivist | No records to be kept by other offices | 3 | N |
| 2.12.2 | <u>Acquisition</u> | | | | | |
| 2.12.2.1 | Request for transfers | D1 after transfer | Archivist | No records to be kept by other offices | 3 | Y |
| 2.12.2.2 | Transfer register | P in office of origin | Archivist | No records to be kept by other offices | 3 | N |
| 2.12.2.3 | Transfer forms | D1 after finalization of the inventory | Archivist | No records to be kept by other offices | 3 | Y |
| 2.12.2.4 | Transfer checklist | D after transfer | Archivist | No records to be kept by other offices | 3 | N |
| 2.12.2.5 | Donor agreements | P in office of origin | Archivist | No records to be kept by other offices | 3 | Y |
| 2.12.2.6 | Donor list | P in office of origin | Archivist | No records to be kept by other offices | 3 | Y |
| 2.12.2.7 | Acknowledgement of receipt – official records | P in office of origin | Archivist | No records to be kept by other offices | 3 | Y |

| Ref # | Description of record | Disposal of original | Office responsible for record | Other offices | Classification of information | Contains personal information? |
|------------|---|----------------------------------|-------------------------------|--|-------------------------------|--------------------------------|
| 2.12.2.8 | Letter of thanks – Private collections | P in office of origin | Archivist | No records to be kept by other offices | 3 | Y |
| 2.12.3 | <u>Accession and de-accession</u> | | | | | |
| 2.12.3.1 | Authority files | P in office of origin | Archivist | No records to be kept by other offices | 3 | N |
| 2.12.3.2 | Accession register | P in office of origin | Archivist | No records to be kept by other offices | 3 | N |
| 2.12.3.3 | Accession forms | P in office of origin | Archivist | No records to be kept by other offices | 3 | N |
| 2.12.3.4 | Separation forms | P in office of origin | Archivist | No records to be kept by other offices | 3 | N |
| 2.12.3.5 | Deeds of gift | P in office of origin | Archivist | No records to be kept by other offices | 3 | N |
| 2.12.3.6 | Shelf occupation lists | D after update | Archivist | No records to be kept by other offices | 3 | N |
| 2.12.3.7 | Shelve lists | D after update | Archivist | No records to be kept by other offices | 3 | N |
| 2.12.3.8 | Box labels | D after update | Archivist | No records to be kept by other offices | 3 | N |
| 2.12.3.9 | Accession control forms | P in office of origin | Archivist | No records to be kept by other offices | 3 | N |
| 2.12.3.10 | Outgoing records | P in office of origin | Archivist | No records to be kept by other offices | 3 | N |
| 2.12.3.11 | De-accession forms | P in office of origin | Archivist | No records to be kept by other offices | 3 | N |
| 2.12.3.12 | De-accession notifications | P in office of origin | Archivist | No records to be kept by other offices | 3 | N |
| 2.12.4 | <u>Arrangement and description</u> | | | | | |
| 2.12.4.1 | Arrangement notes | P in office of origin | Archivist | No records to be kept by other offices | 3 | N |
| 2.12.4.2 | <u>Processing worksheets</u> <ul style="list-style-type: none"> • Biography notes • Organisational histories • Scope notes • File box lists • | D3 after completion of inventory | Archivist | No records to be kept by other offices | 3 | N |
| 2.12.4.3 | <u>Finding aids</u> | | | | | |
| 2.12.4.3.1 | Guide to Archival holdings | P in office of origin | Archivist | No records to be kept by other offices | 3 | N |

| Ref # | Description of record | Disposal of original | Office responsible for record | Other offices | Classification of information | Contains personal information? |
|------------|---|-----------------------|-------------------------------|--|-------------------------------|--------------------------------|
| 2.12.4.3.2 | Inventories | P in office of origin | Archivist | No records to be kept by other offices | 3 | N |
| 2.12.4.3.3 | Database management | P in office of origin | Archivist | No records to be kept by other offices | 3 | N |
| 2.12.5 | <u>Preservation</u> | | | | | |
| 2.12.5.1 | Preservation projects | P in office of origin | Archivist | No records to be kept by other offices | 3 | N |
| 2.12.5.2 | Macro environment 2.12.5.2.1 Storage environment control forms <ul style="list-style-type: none"> • Air conditioning and filter changes • Temperature and humidity control • Smoke detectors • Pest control • Mould control • Security control | D3 | Archivist | No records to be kept by other offices | 3 | N |
| 2.12.5.3 | Microenvironment Storage containers etc. | P in office of origin | Archivist | No records to be kept by other offices | 3 | N |
| 2.12.5.4 | <u>Conservation</u> | | | | | |
| 2.12.5.4.1 | Records send for conservation | P in office of origin | Archivist | No records to be kept by other offices | 3 | N |
| 2.12.5.4.2 | Conservation material | D3 | Archivist | No records to be kept by other offices | 3 | N |
| 2.12.5.5 | <u>Disaster management</u> | | | | | |
| 2.12.5.5.1 | Disaster plan | P in office of origin | Archivist | No records to be kept by other offices | 3 | N |
| 2.12.5.5.2 | Disaster equipment list | D after update | Archivist | No records to be kept by other offices | 3 | N |
| 2.12.6 | <u>Reference service</u> | | | | | |
| 2.12.6.1 | Reference requests | D5 | Archivist | No records to be kept by other offices | 3 | N |
| 2.12.6.2 | Reading Room rules | D after update | Archivist | No records to be kept by other offices | 3 | N |
| 2.12.6.3 | Records taken out of storage | P in office of origin | Archivist | No records to be kept by other offices | 3 | N |
| 2.12.7 | <u>Access</u> | | | | | |
| 2.12.7.1 | Professional Ethics | P in office of origin | Archivist | No records to be kept by other offices | 3 | N |

| Ref # | Description of record | Disposal of original | Office responsible for record | Other offices | Classification of information | Contains personal information? |
|----------|---|-----------------------|-------------------------------|--|-------------------------------|--------------------------------|
| 2.12.7.2 | Confidentiality agreements <i>Also refer to 1.1.4.2 Request regarding Promotion of Access to Information Act 2 of 2000</i> | P in office of origin | Archivist | No records to be kept by other offices | 3 | N |
| 2.12.8 | <u>Outreach</u> | | | | | |
| 2.12.8.1 | Lecturers | D3 | Archivist | No records to be kept by other offices | 3 | N |
| 2.12.8.2 | Visits | D3 | Archivist | No records to be kept by other offices | 3 | N |
| 2.12.8.3 | Exhibits | D3 | Archivist | No records to be kept by other offices | 3 | N |
| 2.12.8.4 | Brochures/Pamphlets | A | Archivist | No records to be kept by other offices | 3 | N |
| 2.12.8.5 | News bulletins | A | Archivist | No records to be kept by other offices | 3 | N |
| 2.12.8.6 | Website | A after update | Archivist | No records to be kept by other offices | 3 | N |
| 2.12.8.7 | Campus archives | D3 | Archivist | No records to be kept by other offices | 3 | N |
| 2.12.8.8 | Contact list | D1 after update | Archivist | No records to be kept by other offices | 3 | N |
| 2.12.8.9 | <u>Residence Archives</u> 2.12.8.9.1 Sourcing of residence archives 2.12.8.9.2 Guidelines for transfer of residence archives 2.12.8.9.3 List of records to be archived by residences 2.12.8.9.4 Table of contents for archival material 2.12.8.9.4 Transfer form for residence archives 2.12.8.9.4 Marketing/outreach records and communication 2.12.8.9.4 Residence archive evaluation form <i>Also refer to the SOP relating to this process (2.2.4_2.12.8.9)</i> | | | | | |

| Ref # | Description of record | Disposal of original | Office responsible for record | Other offices | Classification of information | Contains personal information? |
|-------------|--|----------------------|-------------------------------|--|-------------------------------|--------------------------------|
| 2.13 | <u>Library Management</u> <i>This series is under development/review and will be available as part of the File plan as soon as finalized</i> | | | | | |
| 2.13.1 | Information services | | | | | |
| 2.13.1.1 | Information provision and research support | | | | | |
| 2.13.1.1.1 | Undergraduate | | | | | |
| 2.13.1.1.2 | Postgraduate | | | | | |
| 2.13.1.1.3 | Staff and researchers | | | | | |
| 2.13.1.1.4 | eResearch | | | | | |
| 2.13.1.1.5 | ORCID | | | | | |
| 2.13.1.1.6 | Research Data Management | | | | | |
| 2.13.1.1.7 | Digital humanities | | | | | |
| 2.13.2 | Research support | | | | | |
| 2.13.3 | Information literacy | | | | | |
| 2.14 | <u>Mail management</u> | | | | | |
| 2.14.1 | <u>Postal services</u> | | | | | |
| 2.14.1.1 | <u>Incoming mail</u> | | | | | |
| 2.14.1.1.1 | Registered mail | D6 months | Registry | No records to be kept by other offices | 3 | Y |
| 2.14.1.1.2 | Insured mail | D6 months | Registry | No records to be kept by other offices | 3 | Y |
| 2.14.1.1.3 | Parcels | D6 months | Registry | No records to be kept by other offices | 3 | Y |
| 2.14.1.1.4 | Normal mail | D6 months | Registry | No records to be kept by other offices | 3 | Y |
| 2.14.1.1.5 | Fast mail | D6 months | Registry | No records to be kept by other offices | 3 | Y |
| 2.14.1.2 | <u>Outgoing mail</u> | | | | | |
| 2.14.1.2.1 | Registered mail | D6 months | Registry | No records to be kept by other offices | 3 | Y |
| 2.14.1.2.2 | Insured mail | D6 months | Registry | No records to be kept by other offices | 3 | Y |
| 2.14.1.2.3 | Parcels | D6 months | Registry | No records to be kept by other offices | 3 | Y |
| 2.14.1.2.4 | Normal mail | D6 months | Registry | No records to be kept by other offices | 3 | Y |
| 2.14.1.3 | Internal/per hand mail | D6 months | Registry | No records to be kept by other offices | 3 | Y |
| 2.14.1.4 | Mass mail | D6 months | Registry | No records to be kept by other offices | 3 | Y |

| Ref # | Description of record | Disposal of original | Office responsible for record | Other offices | Classification of information | Contains personal information? |
|---------------------|---|---|---|--|-------------------------------|--------------------------------|
| 2.14.1.5 | Specialist postal services | D6 months | Registry | No records to be kept by other offices | 3 | Y |
| 2.14.1.6 | Intercampus mail service 2.14.1.6.1 Record of internal mail | D6 months | Registry | No records to be kept by other offices | 3 | Y |
| 2.14.2 | Courier services | | | | | |
| 2.14.2.1 | Incoming domestic parcels 2.14.2.1.1 Request to collect shipment | D6 months | Registry | No records to be kept by other offices | 3 | Y |
| 2.14.2.2 | Outgoing domestic parcels 2.14.2.2.1 Request to send shipment | D6 months | Registry | No records to be kept by other offices | 3 | Y |
| 2.14.2.3 | Imports | D6 months | Registry | No records to be kept by other offices | 3 | Y |
| 2.14.2.4 | Exports | D6 months | Registry | No records to be kept by other offices | 3 | Y |
| 2.14.2.5 | Biological samples | D6 months | Registry | No records to be kept by other offices | 3 | Y |
| 2.14.2.6 | Import tax | | | | | |
| 2.14.2.7 | Intercampus courier services 2.14.2.7.1 Chain of Custody | D6 months | Registry | No records kept by other offices | 3 | Y |
| 2.14.2.8 | Waybills | D6 months | Registry | No records to be kept by other offices | 3 | Y |
| 2.14.2.9 | Courier company accounts | | | | | |
| 2.15 | Almanacs/Timetables 2.15.1 NWU almanac 2.15.2 Meeting timetables 2.15.3 Other timetables 2.15.4 Higher degree important dates | 2.15.1 A30 on 30 November annually Other D1 after year of appl. | 2.15.1 CIGS Other Official who approves the record | D1 | 1 | N |
| 2.16.0 | Ceremonies <i>A case file is opened for each ceremony and referenced by number, name and date of the ceremony, e.g. 2.16C_Opening_20210118</i> 2.16.0.1 Invitation 2.16.0.2 Programme 2.16.0.3 Photographs/DVD/Videos | A after ceremony <i>Records such as programmes for the ceremony, attendance lists, photos etc. have historical value</i> | Officer arranging the ceremony | D1 | 3 | Y |

| Ref # | Description of record | Disposal of original | Office responsible for record | Other offices | Classification of information | Contains personal information? |
|-------------|---|--|---|--|-------------------------------|--------------------------------|
| 2.16.1 | <u>Inaugural lectures</u> <i>A case file is opened for each inaugural lecture and referenced by number and name of the ceremony and year, e.g. 2.16.1C_Strauss_2021</i> 2.16.1.1 Guest list 2.16.1.2 Invitation 2.16.1.3 Press release 2.16.1.4 Program 2.16.1.5 Certificate 2.16.1.6 Inaugural lecture in publishable Format 2.16.1.7 Abstract 2.16.1.8 Photographs 2.16.1.9 Annual schedule of inaugural lectures | A after ceremony <i>All records to be submitted to the NWU Archives as soon as possible after the inaugural lecture has taken place</i> | Records 1,2,4,6,7 and 8 Faculty manager/person presenting the lecture must ensure transfer to the Archives Record 3 Corporate Communications must ensure transfer to Archives Record 5 and 9 Ceremonies department must ensure transfer to Archives | No records to be kept by other offices | 3 | Y |
| 2.16.2 | <u>Memorial lectures</u> <i>A case file is opened for each memorial lecture and referenced by number and name of the ceremony and year, e.g. 2.16.2_Plaatjies_2019</i> 2.16.2.1 Guest list 2.16.2.2 Invitation 2.16.2.3 Press release 2.16.2.4 Program 2.16.2.6 Memorial lecture in publishable format | A after ceremony | Office responsible for the memorial lecture | No records to be kept by other office | 1 | N |
| 2.17 | <u>Special management awards</u> <i>A case file is opened for each special award and is referenced by number and authority abbreviation and name of award, e.g. 2.17C_V_VC_HonoraryAward</i> | A after award is presented | Officer responsible for the administration of the award | No records to be kept by other offices | 3 | Y |
| 2.18 | <u>HIV/AIDS management</u> | | | | | |
| 2.18.1 | <u>Marketing</u> <i>A case file is opened for each marketing campaign and is referenced by number and marketing intervention, e.g. 2.18C_Prevention</i> | A1 final marketing material and photos | Manager: HIV/AIDS programme | D1 | 2 | N |
| 2.18.2 | <u>Training</u> <i>A case file is opened for each training intervention and referenced by number and training intervention, e.g. 2.18.2C_Prevention</i> | D3 | Manager: HIV/AIDS programme | D1 | 2 | N |

| Ref # | Description of record | Disposal of original | Office responsible for record | Other offices | Classification of information | Contains personal information? |
|-------------|--|---|--|--|-------------------------------|--------------------------------|
| 2.18.3 | Peer education | D3 | Manager: HIV/AIDS programme | D1 | 2 | N |
| 2.18.4 | Statistics | D5 | Manager: HIV/AIDS programme | D1 | 2 | N |
| 2.19 | Operational management | | | | | |
| 2.19.1 | <u>Investigation administration</u> <i>A case file is opened for each case and is referenced 2.19.1C_casenumbr</i> <i>The information is firstly captured on the CHASE-system and the system generates a case number. Paper copies of the statements etc. are kept in a file with the same case number.</i> 2.19.1.2 Statement regarding interview with respondent/defendant | P on CHASE Paper records – D10 after finalisation the case | Investigation officer | No records to be kept by other offices | 3 | Y |
| 2.19.2 | <u>Protection management</u> 2.19.2.1 Protection 2.19.2.2 Alarms 2.19.2.3 Violation of regulations 2.19.2.4 Authority letters – removal of assets 2.19.2.5 Disclaimer – opening vehicles 2.19.2.6 Crime prevention planning | Record 1, 4 and 5 D1 Record 2,3, and 6 D3 | Manager: Protection Services | D1 | 3 | Y |
| 2.19.3 | <u>Health and safety administration</u> 2.19.3.1 Emergency services 2.19.3.2 Representative | D5 | Chief Director: Finance and Facilities | D1 | 3 | Y |
| 2.19.4 | <u>Training</u> 2.19.4.1 Security 2.19.4.2 Fire weapons <i>A case file is opened for each trainee and is referenced 2.19.4.2C_Surname_Name</i> <u>A case file can contain the following:</u> <ul style="list-style-type: none"> • Registration form • Contact details • ID document • Tests • Examination answer sheets • Correspondence • Questionnaires | D7 after termination of service | Training officer | D1 | 3 | Y |
| 2.19.5 | <u>Event administration</u> 2.19.5.1 Application 2.19.5.2 Application to host event at the NWU | D1 | Head: CIIRS | D1 | 3 | N |
| 2.19.6 | <u>Traffic and access control administration</u> | | | | | |

| Ref # | Description of record | Disposal of original | Office responsible for record | Other offices | Classification of information | Contains personal information? |
|----------|---|--|----------------------------------|--|-------------------------------|--------------------------------|
| 2.19.6.1 | <u>Traffic and parking control</u> 2.19.6.1.1 Accidents 2.19.6.1.2 Reservations 2.19.6.1.3 Roof parking 2.19.6.1.4 Fines 2.19.6.1.5 Correspondence 2.19.6.1.6 Application for parking space 2.19.6.1.7 SEKV2 Parking permit 2.19.6.1.8 SEKV45 application to reserve Parking 2.19.6.1.9 Application for parking disk | Record 1 D5 Record 2 and 4 D3 Record 3 P in CAS-system Record 5 P on CAS-system | Head: Traffic and access control | D1 | 3 | Y |
| 2.19.6.2 | <u>Access control</u> 2.19.6.2.1 Access control and relevant Systems 2.19.6.2.2 Permission permits 2.19.6.2.3 Students, staff and contractor cards 2.19.6.2.4 Access logs | Record 1 D5 Record 2 & 4 D3 Record 3 P on CAS-system | Head: Traffic and access control | D1 | 3 | Y |
| 2.19.6.3 | <u>Key control</u> 2.19.6.3.1 Key register 2.19.6.3.2 Key control forms 2.19.6.3.3 Opening and closing of buildings and swimming pools | Record 1 and 2 D5 Record 3 D1 month | Head: Traffic and access control | D1 | 3 | Y |
| 2.19.7 | Client services questionnaires | D3 | Director: Protection Services | D1 | 3 | Y |
| 2.19.8 | Notices and tasks | D1 | Director: Protection Services | D1 | 3 | Y |
| 2.19.9 | General outputs | | | | | |
| 2.19.10 | Incident register | | | | | |
| 2.20 | <u>Museums and collections management</u> | | | | | |
| 2.20.1 | <u>Acquisitions</u> | | | | | |
| 2.20.1.1 | Request for donation | D3 | Curator | No records to be kept by other offices | 3 | Y |
| 2.20.1.2 | Donor agreements | P in office of origin | Curator | No records to be kept by other offices | 3 | Y |
| 2.20.1.3 | Donor lists | P in office of origin | Curator | No records to be kept by other offices | 3 | Y |
| 2.20.1.4 | Letter of thanks | P in office of origin | Curator | No records to be kept by other offices | 3 | Y |
| 2.20.2 | <u>Accession and de-accession</u> | | | | | |
| 2.20.2.1 | Museum items received | P in office of origin | Curator | No records to be kept by other offices | 3 | N |

| Ref # | Description of record | Disposal of original | Office responsible for record | Other offices | Classification of information | Contains personal information? |
|----------|---|-----------------------|-------------------------------|--|-------------------------------|--------------------------------|
| 2.20.2.2 | Accession forms | P in office of origin | Curator | No records to be kept by other offices | 3 | Y |
| 2.20.2.3 | Separation forms | P in office of origin | Curator | No records to be kept by other offices | 3 | N |
| 2.20.2.4 | Loans | P in office of origin | Curator | No records to be kept by other offices | 3 | N |
| 2.20.2.5 | De-accession forms | P in office of origin | Curator | No records to be kept by other offices | 3 | N |
| 2.20.2.6 | Donor notifications | P in office of origin | Curator | No records to be kept by other offices | 3 | Y |
| 2.20.3 | <u>Documentation</u> | | | | | |
| 2.20.3.1 | Authority lists | P in office of origin | Curator | No records to be kept by other offices | 3 | N |
| 2.20.3.2 | Cataloguing forms | P in office of origin | Curator | No records to be kept by other offices | 3 | N |
| 2.20.3.3 | Donor checklist | P in office of origin | Curator | No records to be kept by other offices | 3 | N |
| 2.20.3.4 | Database management | P in office of origin | Curator | No records to be kept by other offices | 3 | N |
| 2.20.4 | <u>Maintenance</u> | | | | | |
| 2.20.4.1 | Cleaning control lists | D3 | Curator | No records to be kept by other offices | 3 | N |
| 2.20.4.2 | Cleaning materials list | D after update | Curator | No records to be kept by other offices | 3 | N |
| 2.20.5 | <u>Preservation</u> | | | | | |
| 2.20.5.1 | <u>Environmental control forms:</u> <ul style="list-style-type: none"> • Temperature and humidity control • Air quality tests • Pest control • | D5 | Curator | No records to be kept by other offices | 3 | N |
| 2.20.6 | <u>Conservation</u> | | | | | |
| 2.20.6.1 | Restoration if items | P in office of origin | Curator | No records to be kept by other offices | 3 | N |
| 2.20.6.2 | Reproduction of items | P in office of origin | Curator | No records to be kept by other offices | 3 | N |
| 2.20.7 | <u>Storage</u> | | | | | |
| 2.20.7.1 | Storage items | P in office of origin | Curator | No records to be kept by other offices | 3 | N |
| 2.20.7.2 | Storage inventories | P in office of origin | Curator | No records to be kept by other offices | 3 | N |

| Ref # | Description of record | Disposal of original | Office responsible for record | Other offices | Classification of information | Contains personal information? |
|----------|--|-----------------------|-------------------------------|--|-------------------------------|--------------------------------|
| 2.20.7.3 | Museum items storage list | D1 after update | Curator | No records to be kept by other offices | 3 | N |
| 2.20.7.4 | Storage equipment | D5 | Curator | No records to be kept by other offices | 3 | N |
| 2.20.7.5 | Security | D5 | Curator | No records to be kept by other offices | 3 | N |
| 2.20.8 | <u>Exhibits</u> | | | | | |
| 2.20.8.1 | Museum plans | P in office of origin | Curator | No records to be kept by other offices | 3 | N |
| 2.20.8.2 | <u>Project plans:</u> <ul style="list-style-type: none"> • Planning • Work schedules • Budget • Service providers • Reports • Historical information • Graphic designs and plans • Museum test • Photographs • Museum items • Audio visual displays | P in office of origin | Curator | No records to be kept by other offices | 3 | N |
| 2.20.8.3 | Storage equipment | P in office of origin | Curator | No records to be kept by other offices | 3 | N |
| 2.20.8.4 | Storage material | P in office of origin | Curator | No records to be kept by other offices | 3 | N |
| 2.20.9 | <u>Outreach</u> | | | | | |
| 2.20.9.1 | Museum day | P in office of origin | Curator | No records to be kept by other offices | 3 | N |
| 2.20.9.2 | Outreach programmes | D3 | Curator | No records to be kept by other offices | 3 | N |
| 2.20.9.3 | Communication | D3 | Curator | No records to be kept by other offices | 3 | N |
| 2.20.9.4 | Webpage | A after update | Curator | No records to be kept by other offices | 3 | N |
| 2.21 | <u>Image and digital curation</u> | | | | | |
| 2.21.1 | <u>Acquisition</u> | | | | | |
| 2.21.1.1 | Acquisition lists | P in office of origin | Archivist/curator | No records to be kept by other offices | 3 | N |

| Ref # | Description of record | Disposal of original | Office responsible for record | Other offices | Classification of information | Contains personal information? |
|----------|-----------------------------------|-----------------------|-------------------------------|--|-------------------------------|--------------------------------|
| 2.21.1.2 | Photographer lists | P in office of origin | Archivist/curator | No records to be kept by other offices | 3 | Y |
| 2.21.1.3 | Photographer agreements | P in office of origin | Archivist/curator | No records to be kept by other offices | 3 | N |
| 2.21.2 | <u>Accession</u> | | | | | |
| 2.21.2.1 | Accession forms | P in office of origin | Archivist/curator | No records to be kept by other offices | 3 | Y |
| 2.21.2.2 | Accession numbers | P in office of origin | Archivist/curator | No records to be kept by other offices | 3 | N |
| 2.21.3 | <u>Appraisal and selection</u> | | | | | |
| 2.21.3.1 | Categories | P in office of origin | Archivist/curator | No records to be kept by other offices | 3 | N |
| 2.21.4 | <u>Arrange and describe</u> | | | | | |
| 2.21.4.1 | Authority control lost | P in office of origin | Archivist/curator | No records to be kept by other offices | 3 | N |
| 2.21.5 | <u>Finding aids</u> | | | | | |
| 2.21.5.1 | Inventories | P in office of origin | Archivist/curator | No records to be kept by other offices | 3 | N |
| 2.21.5.2 | Database management | P in office of origin | Archivist/curator | No records to be kept by other offices | 3 | N |
| 2.21.6 | <u>Reference services</u> | | | | | |
| 2.21.6.1 | Requests received | D3 | Archivist/curator | No records to be kept by other offices | 3 | Y |
| 2.21.6.2 | Scanning and copying | D3 | Archivist/curator | No records to be kept by other offices | 3 | Y |
| 2.21.6.3 | Statistics | P in office of origin | Archivist/curator | No records to be kept by other offices | 3 | N |
| 2.21.7 | <u>Preservation</u> | | | | | |
| 2.21.7.1 | Environmental control | D5 | Archivist/curator | No records to be kept by other offices | 3 | N |
| 2.21.7.2 | Digitizing and migration projects | P in office of origin | Archivist/curator | No records to be kept by other offices | 3 | N |
| 2.21.8 | <u>Storage</u> | | | | | |
| 2.21.8.1 | Storage plan | P in office of origin | Archivist/curator | No records to be kept by other offices | 3 | N |
| 2.21.8.2 | Storage inventories | P in office of origin | Archivist/curator | No records to be kept by other offices | 3 | N |
| 2.21.8.3 | Storage equipment | D3 | Archivist/curator | No records to be kept by other offices | 3 | N |

| Ref # | Description of record | Disposal of original | Office responsible for record | Other offices | Classification of information | Contains personal information? |
|-------------|---|---|---|--|-------------------------------|--------------------------------|
| 2.21.8.4 | Storage material <ul style="list-style-type: none"> Boxes Files Pockets, etc. | D3 | Archivist/curator | No records to be kept by other offices | 3 | N |
| <u>2.22</u> | <u>Health care management</u> | | | | | |
| | 2.22.1 Clinic attendance form 2.22.2 Clinic Intake Form | D1 after visit to the clinic | Healthcare professional | No records to be kept by other offices | 4 | Y |
| <u>2.23</u> | <u>Customer services management</u> | | | | | |
| 2.23.1 | Customer services complaints | D5 | Office where the complaint is resolved | No records to be kept by other offices | 3 | Y |
| 2.23.2 | Customer satisfaction surveys | D5 | Office responsible for the survey | No records to be kept by other offices | 3 | N |
| <u>2.24</u> | <u>Graphic design services</u> | | | | | |
| 2.24.1 | Job request | D5 | Office responsible for delivering the service | No records to be kept by other offices | 3 | Y |
| 2.25 | <u>Conflict of Interest Management</u> 2.25.1 Section 34(5) register 2.25.2 Notice of declaration 2.25.3 Annual declaration of interest form 2.25.4 Correspondence 2.25.5 Letter of non-compliance 2.25.6 On behalf of form 2.25.7 Reporting | 2.25.2 – D2 after termination of employment | Risk and Compliance | | | |
| 2.26 | <u>Compliance Management</u> 2.26.1 Regulatory universe 2.26.2 Self-assessments 2.26.3 Monitoring 2.26.4 Law monitoring notices 2.26.5 Compliance rolling plan 2.26.6 Compliance reports 2.26.7 Training and awareness | | | | | |
| 2.27 | <u>Business Continuity Management</u> 2.27.1 Business Impact Assessments 2.27.2 Risk Assessments 2.27.3 Business Continuity Plans 2.27.4 Training and Awareness 2.27.5 Reporting | | | | | |

| Ref # | Description of record | Disposal of original | Office responsible for record | Other offices | Classification of information | Contains personal information? |
|-------|---|--|-------------------------------|--|-------------------------------|--------------------------------|
| 2.28 | <u>Risk management</u> 2.28.1 Risk register of the NWU 2.28.2 New Risk Template 2.28.3 Meeting recordings and notes 2.28.4 Training and Awareness 2.28.5 Reporting | DAU5 This record is kept in electronic format | Director: CIGS | No records to be kept by other offices | 3 | N |

3. Human Resources

User Guidelines

This series is used for the management of records relating to human resource administration and management. As such, most of these records will be held by either the relevant staff members in the People and Culture department or in the staff file, with early reference copies to be held by the department where the employee is employed. In cases where staff files are opened in the departments where the staff member is employed, it is mandatory that this copy staff file be sent to People and Culture to be merged with the original staff file in the event of the staff member leaving the NWU's service.

An individual staff file is opened for every permanent/fixed-term appointment employee and is referenced 3C. Please refer to the note on staff files below. records relating to temporary appointments are filed in a separate staff file.

The manager of the department where the staff member is employed is responsible to ensure that the original is sent to the People and Culture department for placement in the staff file.

All records placed in the staff file should be referenced by the reference number of the record and the staff number, e.g. 3.8.3.2_12345678.

- **Subseries 1** is used for the management of all records relating to **recruitment and selection**. The main records owner is the HR practitioner assisting in the advertising and selection of the position. Case files are opened for each position to be advertised and recruited for. The manager of the position must ensure all relevant records reach the HR practitioner. All records in this series are kept in adherence with the Recruitment and Selection Policy (3P_3.1).
- **Subseries 2** is used for the management of records related to **appointments and transfers**. All original records form part of the staff file, and as such only reference copies should be kept in the department where the staff member is employed.
- **Subseries 3** is used for the management of records related to **termination of service**. All original records form part of the staff file, and as such only reference copies should be kept in the department where the staff member is employed.
- **Subseries 4** is used for the administration of **personal development and training** plans and career planning of individual staff members and should not be confused with subseries 9 used for skills development matters managed by the skills development facilitator. Subseries 9 should be used for training and requests and interventions, etc. all records in subseries 3.4 and 3.9 are kept in adherence with the Policy on Training and Development (3P_3.4).
- **Subseries 5** is used for the management of records related to **performance management** of staff members. Performance agreements are filed in this series and annual performance agreements should be placed in the staff file. The manager supervising the position is responsible for ensuring signed performance agreements are sent to the People and Culture department for placement in the staff file. All records in this series are kept in adherence with the Performance Management policy (3_3.5).
- **Subseries 6** is used for the management of **promotion of academic staff**. All records in this series are kept in adherence to the Policy on the promotion of academic employees (3P_3.6).
- **Subseries 7** is used for the administration of records related to **leave issues**. All original records form part of the staff file, and as such only reference copies should be kept in the department where the staff member is employed.
- **Subseries 8** is used for the administration of records related to **remuneration issues**. All original records form part of the staff file or are kept as part of the staff records in the electronic HR-system.

- **Subseries 9** is used for the management of records related to **skills development issues**. Records are mainly kept by the skills development facilitator, but in cases of individual training requests and interventions, copies form part of the staff file to build a training history for each staff member. All records in this series are kept in adherence to the Training and Development Policy (3P_3.4).
- **Subseries 10** is used for the management of records related to **mentorship and coaching**.
- **Subseries 11** is used for the management of records related to **talent management**. Currently the subject is being addressed according to the Talent Management strategy (3Pr_3.11). records regarding succession planning, growing our own timber, internships, etc. are managed in this series.
- **Subseries 12** is used for the management of records related to **organisational development**. Records are mostly generated by the Senior HR practitioner dealing with these matters and copies placed on the staff file.
- **Subseries 13** is used for the management of records related to **labour relations**. Records are strictly confidential and kept by the Manager: Labour Relations. Only a notice of labour action regarding an employee is placed on the staff file and all the other records are kept in the office of the Manager: Labour Relations.
- **Subseries 14** is used for the management of records related to **employment equity and capacity building**. Records are mainly kept by the Manager: Employment Equity. All records in this series are kept in adherence with the Employment Equity Policy (3P_3.14).
- **Subseries 15** is used for the management of records related to **staff disabilities**. Records are mainly kept by the Manager: Employment Equity. All records in this series are kept in adherence with the Disability Policy for employees (3P_3.15).
- **Subseries 16** is used for the management of records related to **employee benefits** such as group life insurance, medical aid, pension fund, etc. these records are kept by the Senior HR practitioner. For payroll and remuneration payment administration, refer to 3.8. all records in this series are kept in adherence with the Remuneration Policy (3P_3.17). records in this series are strictly confidential).
- **Subseries 17** is used for the management of records related to **remuneration** and includes records on bonuses, remuneration revisions, etc. These records are kept by the Senior HR practitioner. For payroll and remuneration payment administration, refer to 3.8. all records in this series are kept in adherence with the Remuneration Policy (3_3.17. Records in this series are strictly confidential.
- **Subseries 18** is used for the management of records related to **HR system administration**. Records are kept by the Manager: People and Culture systems.
- **Subseries 19** is used for the management of records related to **HR statistics**. Records are kept by the Manager: People and Culture systems.
- **Subseries 20** is used for the management of records related to **Employee Health and Wellness**. Records in this series are mainly kept by the Manager: Employee Wellness.
- **Subseries 21** is used for the management of records related to **Employee assessment**. Records in this series are mainly kept by the director: People and Culture Development.

| Number | Policies | |
|--------|----------|---|
| 3P | 3P_3.1 | Recruitment and Selection Policy |
| | 3P_3.2 | Policy on Non-Standard Appointments |
| | 3P_3.4 | Staff Learning and Development Policy |
| | 3P_3.5 | Performance Management Policy |
| | 3P_3.6 | Policy on the Promotion of academic employees |
| | 3P_3.11 | Staff Assessment Policy |
| | 3P_3.12 | Organisational Development Policy |
| | 3P_3.13 | Employee Relations Policy |
| | 3P_3.13b | Sexual Harassment Policy |
| | 3P_3.13c | Gender-based Violence Policy |
| | 3P_3.14 | Policy on Employment Equity |

| Number | Policies |
|--------|--|
| | 3P_3.17 Remuneration Policy 3P_3.20 Employee Wellness Policy 3P_3.20a Prevention and Combating of Trafficking in Persons Policy 3P_3.20b Policy on Employees living with disabilities 3P_3.20c Workplace breastfeeding Policy 3P_3.22 Primary Health Care Policy Disposal of the Original: A after approval as part of Council records Office responsible for original: Corporate Information and Governance Services Other offices' disposal: D after update or revision |

| Number | Procedures, Manuals, Guidelines and Strategies |
|--------|---|
| 3Pr | 3Pr_3 Conditions of Service 3Pr_3.1 Recruitment and selection procedure 3Pr_3.1.6 Job Description guide 3Pr_3.2.1.3 Procedure for probation review 3Pr_3.2.1.3 Probation guidelines 3Pr_3.2.1.2.5 Summary of the rules of the NWU Pension Fund 3Pr_3.2.1.2.6 Summary of the rules of the Group Life Scheme 3Pr_3.2.2.5 Internship Programme Guidelines 3Pr_3.2.3.1 Procedure for fixed-term appointments of directors in the academe 3Pr_3.2.3.2 Procedure for the appointment of extraordinary staff and honorary professors 3Pr_3.5 Manual for performance agreement 3Pr_3.6 Procedure for the promotion of academic staff 3Pr_3.6.1 Institutional promotion criteria 3Pr_3.8 Remuneration manual 3Pr_3.8.3 Tariffs for part-time personnel 3Pr_3.8.3.1.1A Remuneration management manual 3Pr_3.8.3.5 Guide to unforeseen additional remuneration payable to NWU employees 3Pr_3.8.3.6 Overtime payment guide 3Pr_3.8.3.7.4 Procedure for payment of school/research director allowance (flow diagram) 3Pr_3.8.3.7.5 Procedure for payment of subject chair/program leader allowance (flow diagram) 3Pr_3.9 Procedure: Skills development 3Pr_3.9A Guidelines for visits overseas 3Pr_3.9.3 Procedure for staff to attend external/internal short courses 3Pr_3.9.7 Procedure for support staff to study at UNISA 3Pr_3.10 Mentoring guidelines 3Pr_3.11 Talent management strategy 3Pr_3.11.1 Employee assessment guidelines |

| Procedures, Manuals, Guidelines and Strategies | |
|--|--|
| 3Pr_3.11.2 | Succession planning guidelines |
| 3Pr_3.11.3 | Growing your own timber guidelines |
| 3Pr_3.12.1 | Job evaluation guide |
| 3Pr_3.12.2 | The working the NWU's structure |
| 3Pr_3.12.2.4 | Guide for the creating or assessment of an organization |
| 3Pr_3.12.2.5 | Changing the staff establishment of an organisational entity |
| 3Pr_3.12.4 | Process: NWOW Hybrid Working Application |
| 3Pr_3.13C | Gender-Based Violence (GBV) Standard Operating Procedure |
| 3Pr_3.13CA | NWU Gender-based violence and sexual harassment- charter for staff and student leaders |
| 3Pr_3.13.1 | NWU Behavioural Manual |
| 3Pr_3.13.2 | Procedure for the management of incapacity |
| 3Pr_3.13.4 | Employee grievance policy and procedure |
| 3Pr_3.13.11 | Abscond procedure |
| 3Pr_3.13.12 | Suspension procedure |
| 3Pr_3.13.13 | Intoxication procedure |
| 3Pr_3.13.14 | Procedure for personal searches of staff |
| 3Pr_3.13.15 | Reporting acts of dishonesty to the SAPS |
| 3Pr_3.13.16 | Harassment procedure |
| 3Pr_3.14 | Guidelines for Employment Equity |
| 3Pr_3.12.5 | Guidelines for Temp and Ad hoc Control Budget Process |
| 3Pr_3.14.3 | Guidelines and procedures for the capacity building programme |
| 3Pr_3.17.2.2 | Flow diagram of the revision of remuneration process |
| 3Pr_3.17.2.3 | Guide for the awarding of a merit bonus |
| 3Pr_3.17.2.3A | Flow diagram for awarding a merit bonus |
| 3Pr_3.17.2.4 | Guide for the payment of management bonuses |
| 3Pr_3.17.2.4A | Flow diagram for the payment of management bonuses |
| 3Pr_3.17.2.5 | Top performer bonus scheme |
| 3Pr_3.20b | Guidelines for Persons living with Disabilities |
| 3Pr_3.20.3 | Management of workplace Stress guidelines |
| <p>Disposal of original: D5 after update/revision</p> <p>Office responsible for original: Manager in the specific division/process owner</p> <p>Other offices' disposal: D after update/revision.</p> | |

| Number | Staff files |
|--------|--|
| 3C | <p>A staff file is referenced 3C_staff number, e.g. 3C)12345678</p> <p>Records that should be placed in the staff file are indicated in the “disposal of the original” column. The manager supervising the position is the original record owner (person responsible to generate the record from a process) and he/she must ensure that the records are sent to People and Culture for placement in the staff file.</p> <p>The disposal attached to a staff file is D7 after termination of service.</p> <p>The original staff file is kept by the People and Culture operations department of the NWU. Should a copy staff file be kept in the faculty/school/department for operational reasons, this file must be transferred to People and Culture upon termination of service and/or transfer to another faculty/school/department, whichever is soonest.</p> |

| Ref # | Description of record | Disposal of original | Office responsible for record | Other offices | Classification of information | Contains personal information? |
|------------|--|--|-------------------------------|---------------------------------------|-------------------------------|--------------------------------|
| 3.1 | <u>Recruitment and selection</u> <i>In this series records are referenced by the number and the relevant position number, e.g. 3.1.2 151018</i> <i>The People and Culture consultant opens a case file for every position where recruitment and selection is required and the records in this series are filed numerically in the case file.</i> | | | | | |
| 3.1.1 | Motivation for the filling of a vacancy and/or creation of a post | This record form part of the case file | People and Culture | No record to be kept by other offices | 3 | N |
| 3.1.2 | <u>Advertisement of vacant posts</u> 3.1.2.1 Advertisement 3.1.2.2 Schedule | D5 | People and Culture | No record to be kept by other offices | 1 | N |
| 3.1.3 | <u>Application statistics</u> | | | | | |
| 3.1.3.1 | Schedules of applications for academic staff | D5 | People and Culture | No record to be kept by other offices | 3 | Y |
| 3.1.3.2 | Name list of applications for support staff | D5 | People and Culture | No record to be kept by other offices | 3 | Y |
| 3.1.3.3 | Application forms | D5 | People and Culture | No record to be kept by other offices | 3 | Y |
| 3.1.4 | <u>Interviews</u> | | | | | |
| 3.1.4.1 | Arrangements | D5 | People and Culture | No record to be kept by other offices | 3 | Y |
| 3.1.4.2 | Panel | D5 | People and Culture | No record to be kept by other offices | 3 | Y |
| 3.1.4.3 | Questions (interview structure) | D5 | People and Culture | No record to be kept by other offices | 3 | Y |
| 3.1.4.4 | Reference check form | D5 | People and Culture | No record to be kept by other offices | 3 | Y |
| 3.1.4.5 | Application to claim travel costs for an interview | D5 | People and Culture | No record to be kept by other offices | 3 | Y |
| 3.1.5 | Unsuccessful application | D5 | People and Culture | No record to be kept by other offices | 3 | Y |

| Ref # | Description of record | Disposal of original | Office responsible for record | Other offices | Classification of information | Contains personal information? |
|---------|---|---|-------------------------------|--|-------------------------------|--------------------------------|
| 3.1.6 | Job description for job evaluation | This record forms part of the staff file | People and Culture | No record to be kept by other offices | 3 | N |
| 3.1.7 | Recruitment Report | This record part of the staff file | People and Culture | No record to be kept by other offices | 3 | Y |
| 3.2 | <u>Appointments and transfers</u> <i>In this series records are referenced by the number and staff number, e.g. 3.2.1_12345678</i> | | | | | |
| 3.2.1 | <u>Permanent/Fixed term</u> | | | | | |
| 3.2.1.1 | Recommendation: Permanent/fixed term appointment | This record forms part of the staff file | People and Culture | No records to be kept by other offices | 3 | Y |
| 3.2.1.1 | <u>Appointment documentation (support staff)</u> 3.2.1.2.1 Appointment/transfer letter 3.2.1.2.2 Acceptance letter 3.2.1.2.3 Salary instruction and particulars of bank Account 3.2.1.2.4 PAYE: Personal particulars of employee 3.2.1.2.5 Pension Fund: nomination of beneficiaries 3.2.1.2.6 Group life scheme: nomination of beneficiaries 3.2.1.2.7 ABSA – New member Information/Change of member personal details 3.2.1.2.8 declaration of employee 3.2.1.2.9 Medical report 3.2.1.2.10 Update of personal particulars <u>Appointment documentation (academic staff)</u> 3.2.1.2.11 Chair appointment 1.3.33.1.3 Invitation to new members – Convocation 1.3.33.1.2 Convocation change of address form 8.3.2.1 Information for ICNL 8.3.2.2 Option form ICNL <u>Appointment documentation (foreign staff)</u> <i>Includes documents as above as well as a work permit/residence permit/and passport (refer to Biographical details in this file plan).</i> 3.2.1.2.12 Lecturer onboarding 3.2.1.2.13 Motivation for non-designated appointments for both Academic and Support | These records forms part of the staff file. Also refer to the classification of the Biographical details in this File plan. Records pertaining to the Convocation and ICNL does not form part of the staff file and are managed by the original records owner | People and Culture | No records to be kept by other offices | 3 | Y |
| 3.2.1.3 | Permanent appointment after probation period (support staff) | This record forms part of the staff file | People and Culture | No records to be kept by other offices | 3 | Y |
| 3.2.1.4 | Probation review form | This record forms part of the staff file | People and Culture | No records to be kept by other offices | 3 | Y |

| Ref # | Description of record | Disposal of original | Office responsible for record | Other offices | Classification of information | Contains personal information? |
|---------|---|--|-------------------------------|--|-------------------------------|--------------------------------|
| 3.2.2 | <u>Temporary</u> | | | | | |
| 3.2.2.1 | Contract of service: Appointment of temporary staff for periods of one to twelve months | This record forms part of the staff file | People and Culture | No records to be kept by other offices | 4 | Y |
| 3.2.2.2 | Appointment of student assistance | This record forms part of the staff file | People and Culture | No records to be kept by other offices | 3 | Y |
| 3.2.2.3 | Appointment of postgraduate assistants 3.2.2.3.1 Agreement for full time master's Research and Teaching assistant | This record forms part of the staff file | People and Culture | No records to be kept by other offices | 3 | Y |
| 3.2.2.4 | <u>Appointment of facilitators/markers</u> 3.2.2.4.1 CV of facilitator/marker 3.2.2.4.2 Supporting documents for CV 3.2.2.4.3 Database | This record forms part of the staff file | People and Culture | No records to be kept by other offices | 4 | Y |
| 3.2.2.5 | Appointment of interns | This record forms part of the staff file | People and Culture | No records to be kept by other offices | 3 | Y |
| 3.2.2.6 | Checklist – Temp Online system | D1 | People and Culture | No records to be kept by other offices | 3 | Y |
| 3.2.3 | <u>Other</u> | | | | | |
| 3.2.3.1 | Appointment of directors in the academe | This record forms part of the staff file | People and Culture | No records to be kept by other offices | 3 | Y |
| 3.2.3.2 | Appointment of extraordinary staff and honorary professors | This record forms part of the staff file | People and Culture | No records to be kept by other offices | 3 | Y |
| 3.2.3.3 | Move position | This record forms part of the staff file | People and Culture | No records to be kept by other offices | 3 | Y |
| 3.2.3.4 | Appointment of acting manager | This record forms part of the staff file | People and Culture | No records to be kept by other offices | 3 | Y |
| 3.2.3.5 | Appointment of subject chair/program leader | This record forms part of the staff file | People and Culture | No records to be kept by other offices | 3 | Y |
| 3.2.3.6 | <u>Personal particulars</u> 3.2.3.6.1 CV | This record forms part of the staff file | People and Culture | No records to be kept by other offices | 4 | Y |
| 3.3 | <u>Termination of service</u> | | | | | |
| 3.3.1 | 3.3.1.1 Service termination form 3.3.1.2 Resignation form | This record forms part of the staff file | People and Culture | No records to be kept by other offices | 3 | Y |
| 3.3.2 | Termination of service due to incapacity or disciplinary action | This record forms part of the staff file | People and Culture | No records to be kept by other offices | 4 | Y |
| 3.3.3 | <u>Notice of death</u> | | | | | |
| 3.3.4 | Exit interviews | This record forms part of the staff file | People and Culture | No records to be kept by other offices | 3 | Y |
| 3.3.5 | Clearance form | This record forms part of the staff file | People and Culture | No records to be kept by other offices | 3 | Y |

| Ref # | Description of record | Disposal of original | Office responsible for record | Other offices | Classification of information | Contains personal information? |
|-------|--|--|---|--|-------------------------------|--------------------------------|
| 3.3.6 | Certificate of service | This record forms part of the staff file | People and Culture | No records to be kept by other offices | 3 | Y |
| 3.4 | <u>Personal development and training</u> <i>In this series records are referenced by the number and the staff number, e.g.3.4.1.1_12345678</i> | | | | | |
| 3.4.1 | Personal development plan | This record forms part of the staff file | People and Culture | No records to be kept by other offices | 3 | Y |
| 3.4.2 | Overseas visits 3.4.2.1 Motivation 3.4.2.2 Report | This record forms part of the staff file | People and Culture | No records to be kept by other offices | 3 | Y |
| 3.5 | <u>Performance management</u> <i>In this series records are referenced by the number and the staff number, e.g. 3.5.1.1_12345678</i> | | | | | |
| 3.5.1 | Performance agreement | This record forms part of the staff file | People and Culture | No records to be kept by other offices | 3 | Y |
| 3.5.2 | Cycle and schedule | This record forms part of the staff file | People and Culture | No records to be kept by other offices | 3 | Y |
| 3.5.3 | Performance review and appraisal | This record forms part of the staff file | People and Culture | No records to be kept by other offices | 4 | Y |
| 3.6 | <u>Promotion of academic staff</u> <i>In this series records are referenced by the number and the staff number, e.g. 3.6.3.1_12345678</i> | | | | | |
| 3.6.1 | Institutional promotion criteria | A | Senior HR Practitioner | No records y be kept by other offices | 1 | N |
| 3.6.2 | Norm profile for the promotion of academic staff | A | Senior HR Practitioner | No records y be kept by other offices | 3 | Y |
| 3.6.3 | <u>Applications and supporting documentation</u> 3.6.3.1 Application letter 3.6.3.2 Applicant's CV 3.6.3.3 Contact particulars of external referees | D3 | Staff member applying for promotion | No records y be kept by other offices | 4 | Y |
| 3.6.4 | Director's motivation | This record form part the faculty management meeting referenced 2.2.2 | Faculty management secretariat | No records y be kept by other offices | 3 | Y |
| 3.6.5 | Confidential referees report | This record form part the faculty management meeting referenced 2.2.2 | Faculty management secretariat | No records y be kept by other offices | 4 | Y |
| 3.6.6 | <u>Promotion documentation</u> 3.6.6.1 Letter 3.6.6.2 Summary report 3.6.6.3 List | This record form part of the staff file 3.6.6.3 Form part of the UMC meeting referenced 2.2.2 | 3.6.6.1 People and Culture 3.6.6.2 Executive Dean 3.6.6.3 UMC secretariat | No records y be kept by other offices | 3 | Y |

| Ref # | Description of record | Disposal of original | Office responsible for record | Other offices | Classification of information | Contains personal information? |
|---------|--|--|-------------------------------------|--|-------------------------------|--------------------------------|
| 3.7 | <u>Leave issues</u> <i>In this series records are referenced by the number and the staff number, e.g. 3.7.1_12345678</i> | | | | | |
| 3.7.1 | Leave form | This record forms part of the staff file | People and Culture | D1 | 3 | Y |
| 3.7.2 | Application for cancellation | This record forms part of the staff file | People and Culture | D1 | 3 | Y |
| 3.8 | <u>Remuneration administration</u> | | | | | |
| 3.8.1 | <u>Statutory tax payments</u> 3.8.1.1 PAYE 3.8.1.2 IRP5 3.8.1.3 UIF ² declaration 3.8.1.4 UIF UI-19 3.8.1.5 Skills development levy 3.8.1.6 Workmen's compensation fund | P on People and Culture system 3.8.1.4 Forms part of the staff file | People and Culture – Payroll office | No records y be kept by other offices | 4 | Y |
| 3.8.2 | <u>Salary payments</u> <i>In this series records are referenced by the number and the staff number, e.g. 3.8.2.2_12345678</i> | | | | | |
| 3.8.2.1 | Salary slips | P on People and Culture system | People and Culture – Payroll office | No records y be kept by other offices | 4 | Y |
| 3.8.2.2 | <u>Deduction permission</u> 3.8.2.2.1 Class fees 3.8.2.2.2 General deduction order | This record forms part of the staff file | People and Culture | D1 | 3 | Y |
| 3.8.2.3 | Miscellaneous loans | This record forms part of the staff file | People and Culture | No records to be kept by other offices | 4 | Y |
| 3.8.2.4 | Advances | This record forms part of the staff file | People and Culture | No records to be kept by other offices | 4 | Y |
| 3.8.2.5 | Court Orders <ul style="list-style-type: none"> • Child Maintenance • Garnishee orders • Reimbursement | This record forms part of the staff file | People and Culture | No records to be kept by other offices | 4 | Y |
| 3.8.2.6 | Salary instruction and details of bank account of current staff members | This record forms part of the staff file | People and Culture | No records to be kept by other offices | 4 | Y |
| 3.8.2.7 | Claim form for the remittance of traveling costs | This record forms part of the staff file | People and Culture | No records to be kept by other offices | 4 | Y |
| 3.8.2.8 | Balancing controls | This record forms part of the staff file | People and Culture | No records to be kept by other offices | 4 | Y |
| 3.8.2.9 | Payments <ul style="list-style-type: none"> • Cash Focus Returns • Salary Payments | This record forms part of the staff file | People and Culture | No records to be kept by other offices | 4 | Y |

² Unemployment Insurance Fund

| Ref # | Description of record | Disposal of original | Office responsible for record | Other offices | Classification of information | Contains personal information? |
|-----------|---|--|-------------------------------|--|-------------------------------|--------------------------------|
| 3.8.2.10 | Quality controls | This record forms part of the staff file | People and Culture | No records to be kept by other offices | 4 | Y |
| 3.8.2.11 | Billing of medical aids | DAU5 | People and Culture | No records to be kept by other offices | 4 | Y |
| 3.8.2.12 | <u>Reports</u> <ul style="list-style-type: none"> • Third parties • Discoverer | D3 | People and Culture | No records to be kept by other offices | 4 | Y |
| 3.8.2.13 | Cash focus | DAU5 | People and Culture | No records to be kept by other offices | 4 | Y |
| 3.8.3 | <u>Other types of remuneration</u> <i>In this series records are referenced by number and staff number, e.g. 3.8.3.2_12345678</i> <i>Should payments be made to a non-staff member, records are referenced by number and surname and initials, e.g. 3.8.3.2_Mokoena_S</i> | | | | | |
| 3.8.3.1 | Claim form for ad-hoc remuneration | This record forms part of the staff file | People and Culture | No records to be kept by other offices | 4 | Y |
| 3.8.3.1.2 | International payment form | | | | | |
| 3.8.3.2 | Claim form for temporary staff from one to twelve months | This record forms part of the staff file | People and Culture | No records to be kept by other offices | 4 | Y |
| 3.8.3.3 | Claim form for student assistants | This record forms part of the staff file | People and Culture | No records to be kept by other offices | 4 | Y |
| 3.8.3.4 | <u>Examiner's honorarium</u> | This record forms part of the staff file | People and Culture | D6 months | 4 | Y |
| 3.8.3.4.1 | Tariffs | | | | | |
| 3.8.3.4.2 | Claim form | | | | | |
| 3.8.3.4.3 | Confirmation of banking details | | | | | |
| 3.8.3.5 | Unforeseen additional remuneration to university staff members | This record forms part of the staff file | People and Culture | No records to be kept by other offices | 4 | Y |
| 3.8.3.6 | Claim for overtime/Sunday time and standby | This record forms part of the staff file | People and Culture | D1 | 4 | Y |
| 3.8.3.7 | <u>Allowances</u> | This record forms part of the staff file | People and Culture | No records to be kept by other offices | 4 | Y |
| 3.8.3.7.1 | Amounts payable | | | | | |
| 3.8.3.7.2 | Letters | | | | | |
| 3.8.3.7.3 | Acting | | | | | |
| 3.8.3.7.4 | School/Research director | | | | | |
| 3.8.3.7.5 | Subject chair/Program leader | | | | | |
| 3.8.3.7.6 | Projects | | | | | |
| 3.8.3.7.7 | Facilitators/Field workers | | | | | |
| 3.8.3.8 | Long service awards | This record forms part of the staff file | People and Culture | No records to be kept by other offices | 3 | Y |
| 3.8.3.9 | Permission to conduct work for foreign students | This record forms part of the staff file | People and Culture | No records to be kept by other offices | 3 | Y |
| 3.8.3.10 | Claim for data or voice costs | This record forms part of the staff file | People and Culture | No records to be kept by other offices | 3 | Y |

| Ref # | Description of record | Disposal of original | Office responsible for record | Other offices | Classification of information | Contains personal information? |
|---------|---|---|--------------------------------|--|-------------------------------|--------------------------------|
| 3.9 | <u>Skills development</u> | | | | | |
| 3.9.1 | Combined training timetable | A after completion | Skills development facilitator | D1 | 3 | N |
| 3.9.2 | Needs analysis | D5 after analysis | Skills development facilitator | D1 | 3 | Y |
| 3.9.3 | <u>Application for internal training</u> <i>A case file is opened for each training intervention and referenced by number and abbreviation for the intervention. These case files can contain:</i> <ul style="list-style-type: none"> • Training request/correspondence • Facilitator information • Facilitator payments • Registrations • Course arrangements • Course material • Attendance lists • Course evaluations • Assessment documentation | D5 after training | Skills development facilitator | No records to be kept by other offices | 4 | Y |
| 9.4 | <u>Leadership academy</u> 3.9.4.1 Source records 3.9.4.2 Annual presentations <i>A case file is opened and referenced by number and date of presentation. A case file can contain:</i> <ul style="list-style-type: none"> • Outcomes • Trainer CV/Information • Trainer payments • Course material • Attendance lists • Course evaluations | D5 after presentation | Skills development facilitator | No records to be kept by other offices | 4 | Y |
| 3.9.5 | <u>Introduction programme for newly appointed staff members</u> 3.9.5.1 Checklist for line manager/supervisor 3.9.5.2 New employee acknowledgement form | Proof printed from the system that the staff member attended the programme forms part of the staff file | Skills development facilitator | No records to be kept by other offices | 3 | Y |
| 3.9.6 | <u>Skills fund applications</u> | | | | | |
| 3.9.6.1 | Applications for expenditure from the skills development fund <i>Applications are referenced by number and date received, e.g. 3.9.6.1_20210118</i> | D3 | Skills development facilitator | No records to be kept by other offices | 3 | Y |

| Ref # | Description of record | Disposal of original | Office responsible for record | Other offices | Classification of information | Contains personal information? |
|-----------|--|--|--------------------------------|--|-------------------------------|--------------------------------|
| 3.9.6.2 | Letter of outcome | This record forms part of the staff file | People and Culture | No records to be kept by other offices | 3 | Y |
| 3.9.6.3 | Proof of attendance of training intervention | This record forms part of the staff file | People and Culture | No records to be kept by other offices | 3 | Y |
| 3.9.7 | Studies at UNISA <i>In this series records are referenced by the number and the staff number, e.g. 3.9.7.2_12345678</i> | | | | | |
| 3.9.7.1 | Application for staff study assistance | This record forms part of the staff file | People and Culture | D1 | 3 | Y |
| 3.9.7.2 | Letter of outcome | This record forms part of the staff file | People and Culture | D1 | 3 | Y |
| 3.9.7.3 | Study assistance agreement | This record forms part of the staff file | People and Culture | D1 | 3 | Y |
| 3.9.8 | SETA matters | | | | | |
| 3.9.8.1 | Discretionary funding <i>The records in this subseries are filed as case files per training program and referenced 3.9.8.1C_</i> | | | | | |
| 3.9.8.1.1 | Notice of available training interventions | D5 after training | Skills development facilitator | No records to be kept by other offices | 3 | N |
| 3.9.8.1.2 | Application forms | D5 after training | People and Culture | No records to be kept by other offices | 3 | Y |
| 3.9.8.1.3 | Contracts | This record forms part of the staff file | People and Culture | No records to be kept by other offices | 3 | Y |
| 3.9.8.1.4 | Correspondence with SETA | D5 after training | People and Culture | No records to be kept by other offices | 3 | N |
| 3.10 | Mentorships and Coaching | | | | | |
| 3.10.1 | Mentor application form | This record forms part of the staff file | People and Culture | No records to be kept by other offices | 3 | Y |
| 3.10.2 | Mentee application form | This record forms part of the staff file | People and Culture | No records to be kept by other offices | 3 | Y |
| 3.10.3 | Mentoring agreement | This record forms part of the staff file | People and Culture | No records to be kept by other offices | 3 | Y |
| 3.11 | Talent management | | | | | |
| 3.11.1 | Employee assessment | This record forms part of the staff file | People and Culture | No records to be kept by other offices | 4 | Y |
| 3.11.2 | Succession planning 3.11.2.1 Nomination Form | This record forms part of the staff file | People and Culture | No records to be kept by other offices | 3 | Y |
| 3.11.3 | Growing our own timber | This record forms part of the staff file | People and Culture | No records to be kept by other offices | 3 | Y |
| 3.11.4 | Internships | This record forms part of the staff file | People and Culture | No records to be kept by other offices | 3 | Y |

| Ref # | Description of record | Disposal of original | Office responsible for record | Other offices | Classification of information | Contains personal information? |
|----------|---|--|-------------------------------|--|-------------------------------|--------------------------------|
| 3.12 | <u>Organisational management</u> | | | | | |
| 3.12.1 | <u>Position management</u> | | | | | |
| 3.12.1.1 | Applications | This record forms part of the staff file | People and Culture | No records to be kept by other offices | 3 | Y |
| 3.12.1.2 | Evaluation documentation (peromnes score sheets) | P on system | People and Culture | No records to be kept by other offices | 3 | Y |
| 3.12.1.3 | Job-Evaluations results | This record forms part of the staff file | People and Culture | No records to be kept by other offices | 3 | Y |
| 3.12.1.4 | Appeals | This record forms part of the staff file | People and Culture | No records to be kept by other offices | 3 | Y |
| 3.12.1.5 | Letter upgrading of position and salary adjustment | This record forms part of the staff file | People and Culture | No records to be kept by other offices | 3 | Y |
| 3.12.2 | <u>Organisational entity management</u> | | | | | |
| 3.12.2.1 | Correspondence | D3 | People and Culture | No records to be kept by other offices | 3 | N |
| 3.12.2.2 | System administration notices | D3 | People and Culture | No records to be kept by other offices | 3 | N |
| 3.12.2.3 | Organograms | D5 | People and Culture | No records to be kept by other offices | 3 | N |
| 3.12.2.4 | Request for organization restructuring | D5 | People and Culture | No records to be kept by other offices | 3 | N |
| 3.12.2.5 | Changing the staff establishment of an organisational entity | A | People and Culture | D after approval | 3 | Y |
| 3.12.3 | <u>Climate and culture evaluation</u> | | | | | |
| 3.12.3.1 | Data gathering | P on system | People and Culture | No records to be kept by other offices | 3 | N |
| 3.12.3.2 | Reports | P on system | People and Culture | No records to be kept by other offices | 3 | N |
| 3.12.3.3 | Issues management | D5 | People and Culture | No records to be kept by other offices | 3 | N |
| 3.12.3.4 | Permission to work in same/other faculty and declaration regarding activities outside the University's programmes | D5 | Relevant HOD | No records to be kept by other offices | 3 | Y |
| 3.12.4 | Management and Administration of Hybrid Working | | People and Culture | | | |
| 3.12.5 | Management and Administration for Temp and Ad hoc Control Budget | D3 | People and Culture | No records to be kept by other offices | 2 | N |
| 3.13 | <u>Labour Relations (please see note in User guidelines for subseries 13)</u> | | | | | |
| 3.13.1 | <u>Discipline</u> | | | | | |
| 3.13.1.1 | Register | P in responsible office | Manager: Labour Relations | No records to be kept by other offices | 4 | Y |

| Ref # | Description of record | Disposal of original | Office responsible for record | Other offices | Classification of information | Contains personal information? |
|------------|--|---|--|--|-------------------------------|--------------------------------|
| 3.13.1.2 | <u>Departmental hearings</u> <i>Dealt with as case files and referenced 3.13.1.2C_NWU case number</i> <ul style="list-style-type: none"> • Notice • Charge sheet | Not guilty D immediately after hearing Guilty: D after validity period | Manager: Labour Relations | No records to be kept by other offices | 4 | Y |
| 3.13.1.3 | <u>University hearings</u> <i>Dealt with as case files and referenced 3.13.1.3C_NWU case number</i> <ul style="list-style-type: none"> • Notice • Charge sheet • Result letter | Not guilty: D immediately after hearing Guilty: D56 | Manager: Labour Relations | No records to be kept by other offices | 4 | Y |
| 3.13.2 | <u>Incapacity</u> | | | | | |
| 3.13.2.1 | <u>Poor work performance</u> | | | | | |
| 3.13.2.1.1 | Register | P in responsible office | Manager: Labour Relations | No records to be kept by other offices | 4 | Y |
| 3.12.2.1.2 | Case files <i>Referenced 3.13.2.1.2_NWU case number</i> | D5 | Manager: Labour Relations | No records to be kept by other offices | 4 | Y |
| 3.13.2.1.3 | Performance improvement plan | This record forms part of the staff file | People and Culture | No records to be kept by other offices | 4 | Y |
| 3.13.2.1.4 | Performance improvement plan review | This record forms part of the staff file | People and Culture | No records to be kept by other offices | 4 | Y |
| 3.13.2.2 | <u>Incompatibility</u> | | | | | |
| 3.13.2.2.1 | Register | P in responsible office | Manager: Labour Relations | No records to be kept by other offices | 4 | Y |
| 3.13.2.2.2 | Case files <i>Referenced 3.13.2.2.2_NWU case number</i> | D5 | Manager: Labour Relations | No records to be kept by other offices | 4 | Y |
| 3.13.3 | <u>Retrenchments</u> | | | | | |
| 3.13.3.1 | Correspondence/meetings | D3 after completion of section 189 process | Manager: Labour Relations | No records to be kept by other offices | 4 | Y |
| 3.13.3.2 | Letter | This record forms part of the staff file | Manager: Labour Relations | No records to be kept by other offices | 4 | Y |
| 3.13.3.3 | Salary package calculations | D3 after completion of section 189 process | Manager: Staff budget – People and Culture | No records to be kept by other offices | 4 | Y |
| 3.13.4 | <u>Grievances</u> | | | | | |
| 3.13.4.1 | Register | P in responsible office | Manager: Labour Relations | No records to be kept by other offices | 4 | Y |
| 3.13.4.2 | Case files <i>Referenced 3.13.4.2_NWU case number</i> | D5 | Manager: Labour Relations | No records to be kept by other offices | 4 | Y |
| 3.13.5 | <u>CCMA cases</u> | | | | | |

| Ref # | Description of record | Disposal of original | Office responsible for record | Other offices | Classification of information | Contains personal information? |
|----------|--|---|---|--|-------------------------------|--------------------------------|
| 3.13.1.5 | Register | P in responsible office | Manager: Labour Relations | No records to be kept by other offices | 4 | Y |
| 3.13.5.2 | Case files <i>Referenced 3.13.5.2_CCMA case number</i> | D5 | Manager: Labour Relations | No records to be kept by other offices | 4 | Y |
| 3.13.6 | <u>Labour court cases</u> | | | | | |
| 3.13.6.1 | Register | P in responsible office | Manager: Labour Relations | No records to be kept by other offices | 4 | Y |
| 3.13.6.2 | Case files <i>Referenced 3.13.6.2_Labour court case number</i> | D5 | Manager: Labour Relations | No records to be kept by other offices | 4 | Y |
| 3.13.7 | <u>Labour agreements</u> | | | | | |
| 3.13.7.1 | Recognition agreements <i>Referenced 3.13.7.1_union name</i> | A immediately after conclusion of agreement | Manager: Labour Relations | No records to be kept by other offices | 3 | N |
| 3.13.7.2 | Individual agreements <i>Referenced 3.13.7.2_NWU number</i> | D3 after completion of agreement date/terms | Manager: Labour Relations | No records to be kept by other offices | 3 | Y |
| 3.13.8 | <u>Opinions and reports</u> | | | | | |
| 3.13.9 | <u>Union administration</u> <i>Referenced 3.13.9_name of union, e.g. 3.13.9_SAPTU</i> | D1 | Manager: Labour Relations | No records to be kept by other offices | 3 | N |
| 3.13.10 | <u>System administration and reports</u> | | | | | |
| 3.14 | <u>Employment equity</u> | | | | | |
| 3.14.1 | <u>Reports</u> 3.14.1.1 Profile 3.14.1.2 Appointments 3.14.1.3 Terminations 3.14.1.4 Vacancies 3.14.1.5 Retirements | D5 | Employment Equity Manager | No records to be kept by other offices | 3 | Y |
| 3.14.2 | <u>Monitoring</u> 3.14.2.1 Monthly targets 3.14.2.2 progress reports | D5 | Employment Equity Manager | No records to be kept by other offices | 3 | Y |
| 3.14.3 | <u>Capacity building (for records of the capacity building fun committee refer to 2.2.2)</u> | | | | | |
| 3.14.3.1 | Appointment in a capacity building position | This record forms part of the staff file | People and Culture | No records to be kept by other offices | 3 | Y |
| 3.14.3.2 | Approval | A as part of the minutes of the capacity building committee | Secretariat of the capacity building fund committee | No records to be kept by other offices | 3 | Y |
| 3.14.3.3 | Individual development plan (see 3.4) | This record forms part of the staff file | People and Culture | No records to be kept by other offices | 3 | Y |
| 3.14.3.5 | Monitoring of budget expenditure | D5 | People and Culture | No records to be kept by other offices | 3 | N |
| 3.14.3.6 | Correspondence | D5 | Employment equity manager | No records to be kept by other offices | 3 | Y |

| Ref # | Description of record | Disposal of original | Office responsible for record | Other offices | Classification of information | Contains personal information? |
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| 3.15 | <u>Disability management</u> | | | | | |
| 3.15.1 | Registration of person living with a disability (EEA1) | This record forms part of the staff file | People and Culture | No records to be kept by other offices | 3 | Y |
| 3.15.2 | Application for assistance (including correspondence and support documents) | This record forms part of the staff file | People and Culture | No records to be kept by other offices | 3 | Y |
| 3.15.3 | Approval/non-approval | This record forms part of the staff file | People and Culture | No records to be kept by other offices | 3 | Y |
| 3.15.4 | Contract of assistance | This record forms part of the staff file | People and Culture | No records to be kept by other offices | 3 | Y |
| 3.15.5 | Reports | D5 | Employment Equity Manager | No records to be kept by other offices | 3 | N |
| 3.15.6 | Correspondence | D5 | People and Culture | No records to be kept by other offices | 3 | Y |
| 3.15.7 | Disclosure of Disability Status Form This record will not form part of the staff file | D7 | TM and OD | No records to be kept by other offices | 5 | Y |
| 3.16 | <u>Employee benefits management</u> | | | | | |
| 3.16.1 | <u>Pension and provident funds</u> | | | | | |
| 3.16.1.1 | Pension and provident fund rules and agreements | P in office of origin <i>All agreements to be submitted to Legal services</i> | People and Culture | No records to be kept by other offices | 2 | N |
| 3.16.1.2 | Nomination of benefits form | This record forms part of the staff file | People and Culture | No records to be kept by other offices | 4 | Y |
| 3.16.1.3 | Pension and provident fund monthly contributions reports | P on system | People and Culture | No records to be kept by other offices | 4 | Y |
| 3.16.1.4 | Individual benefit statement request | This record forms part of the staff file | People and Culture | No records to be kept by other offices | 4 | Y |
| 3.16.2 | <u>Medical aid</u> | | | | | |
| 3.16.2.1 | Agreements | P in office of origin <i>All agreements to be submitted to Legal services</i> | People and Culture | No records to be kept by other offices | 3 | N |
| 3.16.2.2 | Rules | P in office of origin | People and Culture | No records to be kept by other offices | 3 | N |
| 3.16.2.3 | Application/adding/cancellation of member on medical aid | This record forms part of the staff file | People and Culture | No records to be kept by other offices | 4 | Y |
| 3.16.3 | <u>Group life insurance</u> | | | | | |
| 3.16.3.1 | Agreements | P in office of origin <i>All agreements to be submitted to Legal services</i> | People and Culture | No records to be kept by other offices | 3 | N |
| 3.16.3.2 | Rules | P in office of origin | People and Culture | No records to be kept by other offices | 2 | N |

| Ref # | Description of record | Disposal of original | Office responsible for record | Other offices | Classification of information | Contains personal information? |
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| 3.16.3.3 | Option choices/changes form | This record forms part of the staff file | People and Culture | No records to be kept by other offices | 4 | Y |
| 3.16.4 | <u>Staff discount</u> | | | | | |
| 3.16.4.1 | Application form | D5 | System specialist at SAS | D1 | 3 | Y |
| 3.16.4.2 | Evaluation | D5 | System specialist at SAS | D1 | 3 | Y |
| 3.16.4.3 | Letter of outcome | D5 | System specialist at SAS | D1 | 3 | Y |
| 3.16.4.4 | Rejections | D5 | System specialist at SAS | D1 | 3 | Y |
| 3.17 | <u>Remuneration management</u> | | | | | |
| 3.17.1 | Key scales | A as part of the UMC meeting records referenced 2.2.2 | Remuneration specialist Secretariat of the UMC | D1 | 3 | N |
| 3.17.2 | <u>Individual remuneration review process</u> | | | | | |
| 3.17.2.1 | Recommendation: Revision of remunerations | This record forms part of the staff file | People and Culture | No records to be kept by other offices | 4 | Y |
| 3.17.2.2 | Letter of outcome of remuneration review | This record forms part of the staff file | People and Culture | No records to be kept by other offices | 4 | Y |
| 3.17.3 | <u>Bonus management</u> | | | | | |
| 3.17.3.1 | Awarding and payment of merit bonus | This record forms part of the staff file | People and Culture | No records to be kept by other offices | 4 | Y |
| 3.17.3.2 | Incentive bonus | This record forms part of the staff file | People and Culture | No records to be kept by other offices | 4 | Y |
| 3.17.3.3 | <u>Management and top performer bonuses</u> 3.17.3.3.1 Minutes 3.17.3.3.2 Process | 3.17.3.3.1 A1 3.17.3.3.2 D2 | People and Culture | No records to be kept by other offices | 4 | Y |
| 3.17.3.4 | Letters informing staff member of top performer bonus | This record forms part of the staff file | People and Culture | No records to be kept by other offices | 4 | Y |
| 3.18 | <u>System administration</u> | | | | | |
| 3.18.1 | BR100 | D3 | People and Culture | No records to be kept by other offices | 3 | N |

| Ref # | Description of record | Disposal of original | Office responsible for record | Other offices | Classification of information | Contains personal information? |
|-----------|---|--|-------------------------------|--|-------------------------------|--------------------------------|
| 3.18.2 | <u>Manuals</u> <ul style="list-style-type: none"> • System navigation • PC Employee management • PC systems administrator • PC payroll • Leave • Budget | P in office of origin | People and Culture | No records to be kept by other offices | 3 | N |
| 3.18.3 | <u>System requests/integrations/errors</u> 3.18.3.1 Request form 3.18.3.2 Reports | D3 | People and Culture | No records to be kept by other offices | 3 | N |
| 3.18.4 | System registrations | D3 | People and Culture | No records to be kept by other offices | 3 | N |
| 3.18.5 | HCOR registration | D3 | People and Culture | No records to be kept by other offices | 3 | N |
| 3.19 | <u>Statistics</u> | | | | | |
| 3.19.1 | SA Statistics reports | D3 | People and Culture | No records to be kept by other offices | 3 | N |
| 3.19.2 | Staff figures | D3 | People and Culture | No records to be kept by other offices | 3 | N |
| 3.19.3 | Ad hoc requests involving staff statistics <i>Referenced 3.19.3_name of department listing enquiry, e.g. 3.19.3_RAM</i> | D5 Kept on ROD network drive | People and Culture | No records to be kept by other offices | 3 | N |
| 3.20 | <u>Employee Health and Wellness</u> | | | | | |
| 3.20.1 | <u>Wellness programme management</u> | | | | | |
| 3.20.1.5 | Feedback | D3 | Manager: Employee Wellness | No records to be kept by other offices | 3 | N |
| 3.20.1.8 | Surveys, assessments and need analysis | D3 | Manager: Employee Wellness | No records to be kept by other offices | 3 | N |
| 3.20.1.10 | Year programme (brochures and calendars) | A | Manager: Employee Wellness | No records to be kept by other offices | 3 | N |
| 3.20.2 | <u>Projects and initiatives</u> | | | | | |
| 3.20.2.1 | Education <i>Are dealt with as case files and referenced 3.20.2.1C_name of project, e.g. 3.20.2.1C_teambuilding</i> | Some records in the case file may have archival value. Others, D1 Consult with the NWU Archivist on archival value | Manager: Employee Wellness | No records to be kept by other offices | 3 | N |

| Ref # | Description of record | Disposal of original | Office responsible for record | Other offices | Classification of information | Contains personal information? |
|----------|--|--|-------------------------------|--|-------------------------------|--------------------------------|
| 3.20.2.2 | Health and Wellness <i>Are dealt with as case files and referenced</i> 3.20.2.2C_name of project, e.g. 3.20.2.2C_healthdays | Some records in the case file may have archival value. Others, D1 Consult with the NWU Archivist on archival value | Manager: Employee Wellness | No records to be kept by other offices | 3 | N |
| 3.20.2.4 | Workplace stress management <i>Are dealt with as case files and referenced</i> 3.20.2.4C_name of project, e.g. 3.20.2.4C_stress in RAM | Some records in the case file may have archival value. Others, D1 Consult with the NWU Archivist on archival value | Manager: Employee Wellness | No records to be kept by other offices | 4 | Y |
| 3.20.2.5 | HEAIDS global funding <i>Are dealt with as case files and referenced</i> 3.20.2.5C_name of project, e.g. 3.20.2.5C_masculinityproject | DAU5 | Manager: Employee Wellness | No records to be kept by other offices | 3 | N |
| 3.21 | <u>Employee assessment</u> | | | | | |
| 3.21.1 | Statement of understanding | This record forms part of the staff file | People and Culture | No records to be kept by other offices | 3 | N |
| 3.21.2 | Employee referral form | This record forms part of the staff file | People and Culture | No records to be kept by other offices | 4 | Y |
| 3.22 | <u>CV management</u> | | | | | |
| 3.22.1 | CV of senior staff members | A upon receipt of notice of termination of employment | People and Culture/Archivist | No records to be kept by other offices | 4 | Y |

4. Finances

User Guidelines

This series is used for the management of records relating to financial administration, systems and reporting, budgeting, money market and bursaries and loans. All records in this series are kept in adherence with the Financial Policy and Rules (4P) together with the appropriate procedures.

Classification and filing:

All original and supporting documents are kept with the originator of the transaction. The supporting records (e.g. invoices, quotes, etc.) for expenditure is no longer sent to financial administration for safekeeping and filing.

The original supporting documents for the KFS transaction must be kept in safe and secure storage. The safekeeping of the original supporting documents remains the responsibility of the originator of the financial transaction until the records can legally be destroyed.

The filing of these records can be arranged in the file according to the preference of the person responsible for the transaction (according to date/supplier/type of transaction, etc.) please keep to one method of filing.

Disposal:

All original records that are processed through KFS as part of the “notes and attachments” tab (i.e. scanned and sent as part of the e-doc) must be retained for three (3) months after the transaction was completed on KFS.

The following original records are excluded from the requirements of this guideline and must be retained for a period of five (5) years after the audit:

- (a) Original legal contracts as supporting document for repeatedly financial transactions must be sent to the NWU Legal Services for safekeeping. An electronic version must also be sent to the Finance department for reference purposes.
- (b) Original supporting documents needed for reporting purposes to the National Research Fund³ in respect of research funding, Department of Higher Education and Training⁴ in respect of grants, or any other reporting that must be supported by original documents.

The procedure for the destruction of records of the NWU must be followed when destroying original records, this procedure is available from the NWU intranet and from the Records, Archives and Museums department⁵.

All destructions are recorded in the NWU destruction register. Destroying original financial records without an authorisation number which is recorded by RAM, is illegal and may lead to disciplinary action.

Financial records are not archived and should not be submitted to the NWU Archives for permanent preservation.

³ NRF

⁴ DHET

⁵ RAM

- **Subseries 1** is used for the management of all records relating to **income management**. Income related records include student accounts, cashiers and bank deposits, debt collection, diverse debtors, donations and income received from guest accommodation and the Varsity Vending system.
- **Subseries 2** is used for the management of all records relating to **expenditure management**. The main record owner is the Manager of the department Financial Administration but record creators should take note of the important note above. Expenditure management related records include procurement records, sundry of advance payments and creditor payments. Records in this series are kept in adherence with, *inter alia*, the Procurement Policy (4P_4.2.1_ and the GAAP rules.
- **Subseries 3** is used for the management of all records relating to **asset management**. All original records are kept by the Accountant: Asset and insurance.
- **Subseries 4** is used for the management of all records relating to **insurance management**. All original records are kept by the Accountant: Assets and insurance.
- **Subseries 5** is used for the management of records relating to **investments and cash flow management**. All original records are kept by the Manager: Money Market.
- **Subseries 6** is used for the management of records related to **financial reporting**. This includes all financial statements and reports. Managers in faculties and support departments may also use this series for their faculty/departmental financial reports.
- **Subseries 7** is used for the management of all records relating to **system administration**. These records include security documentation for the system and various application forms for system transactions. The original records are kept by Financial Reporting and systems management and copies may be kept by applicants.
- **Subseries 8** is used for the management of all records relating to **system management**. These records include system manuals and documents. The original records are kept by financial administration: Systems and Reporting and copies may be kept by users.
- **Subseries 9** is used for the management of all records relating to **budget management**. The original records are kept permanently on the Finance system and the record owner is the Senior accountant: Management Accounting Services.
- **Subseries 10** is used for the management of all records relating to **bursaries management**. The record owner is Student Fees and Financial related Services.
- **Subseries 11** is used for **Varsity Vending system management**. The record owner is the Manager: Residence and Catering Services.

| Number | Policies |
|--------|--|
| 4P | 4P_4 Financial Policy 4P_4 Schedule of Authorisation levels Disposal of the Original: A after approval as part of Council records Office responsible for original: Corporate Information and Governance Services Other offices' disposal: D after update or revision |
| Number | Procedures, manuals, guidelines and strategies |
| 4Pr | 4Pr Guidelines and controls for financial transactions and extending the financial policy 4Pr_4.1.3 Fees payable booklet and financial rules 4Pr_4.2A Procedure for year-end functions 4Pr_4.2B Guidelines on subsistence and traveling 4Pr_4.2C Procedures for subsistence and traveling 4Pr_4.2D Procedure for the purchase of office furniture 4Pr_4.4 Procedure on insurance claims <i>All other procedures and training material is made available on the KFS website at http://nwu.ac.za/kfs</i> Disposal of the Original: D5 after every update Office responsible for original: Manager in the specific division/process owner Other offices' disposal: D after update or revision |

| Ref # | Description of record | Disposal of original | Office responsible for record | Other offices | Classification of information | Contains personal information? |
|---------|--|----------------------|---|---------------------------------------|-------------------------------|--------------------------------|
| 4.1 | Income management | | | | | |
| 4.1.1 | List of bank accounts | DAU5 | Senior Financial Officer | No record to be kept by other offices | 2 | N |
| 4.1.2 | Confirmation of bank particulars | DAU5 | Senior Financial Officer | No record to be kept by other offices | 3 | N |
| 4.1.3 | Student accounts administration | | | | | |
| | 4.1.3.1 Student accounts 4.1.3.1.1 Student account recon after cancellation of studies 4.1.3.1.2 Letter – outstanding balance after cancellation of studies 4.1.3.1.3 Letter – credit balance after cancellation of studies | DAU5 | Manager: Student Accounts and Bursaries | No record to be kept by other offices | 4 | Y |
| 4.1.3.2 | Reconciliations <ul style="list-style-type: none"> Monthly statements Journals | DAU5 | Manager: Student Accounts and Bursaries | No record to be kept by other offices | 3 | Y |
| 4.1.3.3 | Application for refund of credit balance on student account | DAU5 | Manager: Student Accounts and Bursaries | No record to be kept by other offices | 3 | Y |
| 4.1.3.4 | Cost estimation of study costs/quotations | DAU5 | Manager: Student Accounts and Bursaries | No record to be kept by other offices | 3 | Y |
| 4.1.3.5 | Credit and debit notes | DAU5 | Manager: Student Accounts and Bursaries | No record to be kept by other offices | 3 | Y |
| 4.1.3.6 | Closed series | | | | | |
| 4.1.3.7 | Bad debt | DAU5 | Head: SFFS | No record to be kept by other offices | 3 | Y |
| 4.1.4 | Diverse debtors administration | | | | | |
| 4.1.4.1 | Invoices | DAU5 | Head: Sundry debtors | No record to be kept by other offices | 3 | Y |
| 4.1.4.2 | Reconciliations | DAU5 | Head: Sundry debtors | No record to be kept by other offices | 3 | N |
| 4.1.4.3 | Debtors accounts | DAU5 | Head: Sundry debtors | No record to be kept by other offices | 3 | Y |
| 4.1.4.4 | Credit notes | DAU5 | Head: Sundry debtors | No record to be kept by other offices | 3 | Y |
| 4.1.4.5 | Receipts | DAU5 | Head: Sundry debtors | No record to be kept by other offices | 3 | Y |
| 4.1.4.6 | Series closed | | | | | |

| Ref # | Description of record | Disposal of original | Office responsible for record | Other offices | Classification of information | Contains personal information? |
|---------|--|----------------------|--|--|-------------------------------|--------------------------------|
| 4.1.5 | <u>Cashiers administration</u> | | | | | |
| 4.1.5.1 | <u>Receipts</u> <ul style="list-style-type: none"> • Cash • Cheques • Postal orders • Debit and credit cards • Direct bank payments | DAU5 | Manager: Student Accounts and Bursaries | No record to be kept by other offices | 3 | Y |
| 4.1.5.2 | Suspense account | DAU5 | Manager: Student Accounts and Bursaries | No record to be kept by other offices | 3 | Y |
| 4.1.5.3 | Cashiers reconciliations | DAU5 | Manager: Student Accounts and Bursaries | No record to be kept by other offices | 3 | N |
| 4.1.5.4 | Series closed | | | | | |
| 4.1.5.5 | Cashiers report | DAU5 | Manager: Student Accounts and Bursaries | No record to be kept by other offices | 3 | Y |
| 4.1.5.6 | Series closed | | | | | |
| 4.1.5.7 | Receipt report | DAU5 | Manager: Student Accounts and Bursaries | No record to be kept by other offices | 3 | N |
| 4.1.6 | <u>Debt collection administration</u> Includes the administration of all types of debt | | | | | |
| 4.1.6.1 | Agreements for settlement | DAU5 | Manager: Student Accounts and Bursaries | No record to be kept by other offices | 4 | Y |
| 4.1.6.2 | Reconciliations | DAU5 | Manager: Student Accounts and Bursaries | No record to be kept by other offices | 3 | N |
| 4.1.6.3 | List of accounts handed to attorneys | DAU5 | Manager: Student Accounts and Bursaries | No record to be kept by other offices | 4 | Y |
| 4.1.6.4 | Postponement for bursaries and loans | DAU5 | Manager: Student Accounts and Bursaries | No record to be kept by other offices | 3 | Y |
| 4.1.6.5 | Degree ceremonies | DAU5 | Manager: Student Accounts and Bursaries | No record to be kept by other offices | 3 | Y |
| 4.1.6.6 | Debt counselling | DAU5 | Manager: Student Accounts and Bursaries | No record to be kept by other offices | 4 | Y |
| 4.1.6.7 | Diverse debtor collection | DAU5 | Head: Collections | No record to be kept by other offices | 3 | Y |
| 4.1.7 | <u>Donations/awards</u> | | | | | |
| 4.1.7.1 | Tax exemption certificates | DAU5 | Financial officer in Dept. Marketing and communication | No records to be kept by other offices | 3 | Y |

| Ref # | Description of record | Disposal of original | Office responsible for record | Other offices | Classification of information | Contains personal information? |
|---------|---|--|-------------------------------------|---|-------------------------------|--------------------------------|
| 4.1.8 | <u>Guest accommodation income administration</u> | | | | | |
| 4.1.8.1 | Invoices | DAU5 | Manager: Guest Accommodation | No records to be kept by other offices | 3 | Y |
| 4.1.8.2 | Payments received | DAU5 | Manager: Guest Accommodation | No records to be kept by other offices | 3 | N |
| 4.1.8.3 | Reconciliations | DAU5 | Manager: Guest Accommodation | No records to be kept by other offices | 3 | N |
| 4.1.9 | <u>Varsité Vending income administration</u> | | | | | |
| 4.1.9.1 | Meal deposits reconciliation | DAU5 | Manager: Catering Services | No records to be kept by other offices | 3 | Y |
| 4.1.9.2 | Bank deposits | DAU5 | Manager: Catering Services | No records to be kept by other offices | 3 | Y |
| 4.1.9.3 | Cash-up reports | DAU5 | Manager: Catering Services | No records to be kept by other offices | 3 | N |
| 4.1.9.4 | Daily sales reports | DAU5 | Manager: Catering Services | No records to be kept by other offices | 3 | Y |
| 4.1.9.5 | Credit card slips | DAU5 | Manager: Catering Services | No records to be kept by other offices | 3 | Y |
| 4.1.9.6 | Safe balancing | DAU5 | Manager: Catering Services | No records to be kept by other offices | 3 | Y |
| 4.1.10 | <u>Inter departmental income</u> <i>Referenced by number and authority abbreviation, e.g. 4.1.10_RAM</i> | Electronic records: P on system Paper records: DAU5 | Department that received the income | No records to be kept by other offices | 3 | N |
| 4.2 | <u>Expenditure management</u> | | | | | |
| 4.2.1 | <u>Negotiation and procurement</u> | | | | | |
| 4.2.1.1 | Supply contracts | D5 after expiry of contract | Senior procurement officer | Copy of the contract must be supplied to Legal Services | 3 | Y |
| 4.2.1.2 | Supplier credit application | DAU5 | Senior procurement officer | No records to be kept by other offices | 3 | Y |
| 4.2.1.3 | PURCO correspondence | DAU5 | Senior procurement officer | No records to be kept by other offices | 3 | N |
| 4.2.1.4 | Tender documentation | Sent to storage after three (3) years | Senior procurement officer | No records to be kept by other offices | 3 | Y |
| 4.2.1.5 | Applications for new creditors | D3 | Senior procurement officer | No records to be kept by other offices | 3 | Y |
| 4.2.1.6 | Creditor reconciliations | DAU5 | Senior procurement officer | No records to be kept by other offices | 3 | Y |
| 4.2.1.7 | Change of details of supplier | P in electronic format on system | Senior procurement officer | No records to be kept by other offices | 3 | N |

| Ref # | Description of record | Disposal of original | Office responsible for record | Other offices | Classification of information | Contains personal information? |
|---------|--|----------------------------------|-------------------------------|---------------|-------------------------------|--------------------------------|
| 4.2.2 | <u>Operating expenditure administration</u> | | | | | |
| 4.2.2.1 | Quotations | P in electronic format on system | Senior procurement officer | D1 | 3 | Y |
| 4.2.2.2 | Requisition | P in electronic format on system | Senior procurement officer | D1 | 3 | Y |
| 4.2.2.3 | Purchase orders | P in electronic format on system | Senior procurement officer | D1 | 3 | Y |
| 4.2.2.4 | Goods received note | P in electronic format on system | Senior procurement officer | D1 | 3 | Y |
| 4.2.2.5 | Supplier invoices/delivery note | P in electronic format on system | Senior procurement officer | D1 | 3 | Y |
| 4.2.3 | <u>Sundry/ad hoc payments of expenditure administration</u> | | | | | |
| 4.2.3.1 | Payment requisition and proof documents | P in electronic format on system | Senior procurement officer | D1 | 3 | Y |
| 4.2.3.2 | Motivation for advance payment | P in electronic format on system | Senior procurement officer | D1 | 3 | Y |
| 4.2.3.3 | Motivation for daily allowance payment | P in electronic format on system | Senior procurement officer | D1 | 3 | Y |
| 4.2.3.4 | Subsistence claim forms | P in electronic format on system | Senior procurement officer | D1 | 3 | Y |
| 4.2.3.5 | Airtime/Data allowance claim form | P in electronic format on system | Senior procurement officer | D1 | 3 | Y |
| 4.2.3.2 | Proof of electronic payments | P in electronic format on system | Senior procurement officer | D1 | 3 | Y |
| 4.2.3.3 | IRP schedule | P in electronic format on system | Senior procurement officer | D1 | 3 | N |
| 4.2.3.4 | Overseas travel budget form | P in electronic format on system | Senior procurement officer | D1 | 3 | Y |
| 4.2.3.5 | Application/Amendment for monthly cell phone and/or 3G allowances | DAU5 | Senior procurement officer | D1 | 4 | Y |
| 4.2.3.6 | Claim form for travel | DAU5 | Senior procurement officer | D1 | 3 | Y |
| 4.2.3.7 | Travel insurance form (Diners club) | DAU5 | Senior procurement officer | D1 | 3 | Y |
| 4.2.3.8 | <u>Vehicle hire</u> 4.2.3.8.1 Application form 4.2.4.3.8.2 Hire tariffs 4.2.3.8.3 Damage check sheets | DAU5 | Senior procurement officer | D1 | 3 | Y |
| 4.2.3.9 | <u>Advances</u> 4.2.3.9.1 Motivation for advance | DAU5 | Senior procurement officer | D1 | 3 | Y |

| Ref # | Description of record | Disposal of original | Office responsible for record | Other offices | Classification of information | Contains personal information? |
|---------|--|-------------------------------------|---------------------------------------|--|-------------------------------|--------------------------------|
| 4.3 | <u>Asset management</u> | | | | | |
| 4.3.1 | <u>Asset management</u> 4.3.1.1 Asset register 4.3.1.2 Transfer of assets between departments 4.3.1.3 Authorisation for use of assets – Off-campus | P on system Paper records – DAU5 | Accountant: Capital assets Management | No records to be kept by other offices | 3 | N |
| 4.3.2 | <u>Disposal of assets</u> 4.3.2.1 Re-application of assets 4.3.2.2 Theft 4.3.2.3 Tenders 4.3.2.4 Purchase of workstation from NWU | P on system Paper records – DAU5 | Accountant: Capital assets Management | No records to be kept by other offices | 3 | N |
| 4.3.3 | Physical survey of assets | P on system Paper records – DAU5 | Accountant: Capital assets Management | No records to be kept by other offices | 3 | N |
| 4.3.4 | <u>Stock administration</u> 4.3.4.1 Stock taking 4.3.4.2 Balancing 4.3.4.3 Pick slips | D3 | Manager at stores | No records to be kept by other offices | 3 | N |
| 4.4 | <u>Insurance management</u> | | | | | |
| 4.4.1 | Insurance portfolio | DAU5 | Insurance officer | No records to be kept by other offices | 3 | N |
| 4.4.2 | <u>Reporting</u> 4.4.2.1 Written report of damage or loss of asset 4.4.2.2 Claim form | DAU5 | Insurance officer | No records to be kept by other offices | 3 | N |
| 4.4.3 | Insurance claims: Individual files | DAU5 | Insurance officer | No records to be kept by other offices | 3 | N |
| 4.4.4 | TERISA (Insurance consortium) | D3 | Insurance officer | No records to be kept by other offices | 3 | N |
| 4.5 | <u>Investment and cash flow management</u> | | | | | |
| 4.5.1 | <u>Investment administration</u> | | | | | |
| 4.5.1.1 | <u>Investment services</u> <i>Case file referenced by number and name of bank, e.g. 4.5.1.1C_Nedbank.</i> <i>This case file may include the following:</i> <ul style="list-style-type: none"> • Statements • Transaction letter • Reconciliations • Journal evidence • Correspondence | D5 after investment | Financial planning | No records to be kept by other offices | 3 | N |
| 4.5.1.2 | <u>Special projects</u> <i>Case file referenced by number and name of project, e.g. 4.5.1.2C_PAAM</i> | D5 after investment | Financial planning | No records to be kept by other offices | 3 | N |

| Ref # | Description of record | Disposal of original | Office responsible for record | Other offices | Classification of information | Contains personal information? |
|---------|---|--|---|--|-------------------------------|--------------------------------|
| 4.5.1.3 | <u>Investment portfolio administration</u> 4.5.1.3.1 Portfolio 4.5.1.3.2 Summaries 4.5.1.3.3 Estimations 4.5.1.3.4 Limits for investments 4.5.1.3.5 Actuarial measuring 4.5.1.3.6 Audit reports | D5 after investment | Financial planning | No records to be kept by other offices | 3 | N |
| 4.5.2 | <u>Cash flow management</u> | | | | | |
| 4.5.2.1 | Bank reconciliations | DAU5 | Financial planning | No records to be kept by other offices | 4 | N |
| 4.5.2.2 | Interest calculations | DAU5 | Financial planning | No records to be kept by other offices | 3 | N |
| 4.5.2.3 | Inflation database | DAU5 | Financial planning | No records to be kept by other offices | 3 | N |
| 4.5.2.4 | Interest and discharging | DAU5 | Financial planning | No records to be kept by other offices | 3 | N |
| 4.5.2.5 | Capitalization | DAU5 | Financial planning | No records to be kept by other offices | 3 | N |
| 4.6 | <u>Reporting</u> | | | | | |
| 4.6.1 | Quarterly reports | P on electronic system Paper records D5 | Director: Financial Reporting and System Management | D1 | 3 | N |
| 4.6.2 | Year-end reports | P on electronic system Paper records D5 | Director: Financial Reporting and System Management | D1 | 3 | N |
| 4.6.3 | Final financial statements for the year ended | A as part of the Annual report (1.6.3/1.3.1) Paper records D5 | Director: Financial Reporting and System Management | No records to be kept by other offices | 3 | N |
| 4.6.4 | Correction journals | P on electronic system Paper records D5 | Director: Financial Reporting and System Management | No records to be kept by other offices | 3 | N |
| 4.7 | <u>System administration</u> | | | | | |
| 4.7.1 | <u>General ledger structure</u> (Cost centres and activities) 4.7.1.1 Application for cost centre 4.7.1.2 Application for new activity | P on electronic system Paper records D5 | Director: Financial Reporting and System Management | D1 | 3 | N |
| 4.7.2 | <u>Overdraft facilities awarded</u> 4.7.2.1 Applications | P on electronic system Paper records D5 | Director: Financial Reporting and System Management | No records to be kept by other offices | 3 | N |

| Ref # | Description of record | Disposal of original | Office responsible for record | Other offices | Classification of information | Contains personal information? |
|---------|--|--|---|--|-------------------------------|--------------------------------|
| 4.7.3 | <u>Security accesses</u> 4.7.3.1 Registration form | P on electronic system Paper records D5 | Director: Financial Reporting and System Management | No records to be kept by other offices | 3 | N |
| 4.7.4 | <u>Department cards</u> 4.7.4.1 Applications | P on electronic system Paper records D5 | Director: Financial Reporting and System Management | No records to be kept by other offices | 3 | N |
| 4.7.5 | <u>Create transactions</u> 4.7.5.1 Journal form 4.7.5.2 Overpayment to staff development | P on electronic system Paper records D5 | Director: Financial Reporting and System Management | No records to be kept by other offices | 3 | N |
| 4.8 | <u>Financial system management</u> | | | | | |
| 4.8.1 | <u>Manuals</u> <ul style="list-style-type: none"> • VAT • Journal requirements • Interim guidelines for financial transactions • Primary user training • Summary report • Detail reports • Excel reports • System help and support model • Account guidelines | D3 after update | Manager: Financial Related systems | D1 | 3 | N |
| 4.8.2 | Requests and errors report | P on remedy system | Director: Financial Reporting and System Management | D1 | 3 | N |
| 4.8.3 | System documents | D3 after update | Director: Financial Reporting and System Management | No records to be kept by other offices | 3 | N |
| 4.8.4 | <u>Student finances: Financial Related systems</u> | | | | | |
| | 4.8.4.1 System management 4.8.4.2 System securities 4.8.4.3 System enhancements 4.8.4.4 System projects | P in office of origin | Director: Financial Reporting and System Management | D1 | 3 | N |
| 4.9 | <u>Budget management and assistance</u> | | | | | |
| 4.9.1 | <u>Budget control</u> | | | | | |
| 4.9.1.1 | <u>Training</u> 4.9.1.1.1 Planning 4.9.1.1.2 Documentation 4.9.1.1.3 Attendance registers | D3 | Senior Accountant: Management Accounting Services | D1 | 3 | N |

| Ref # | Description of record | Disposal of original | Office responsible for record | Other offices | Classification of information | Contains personal information? |
|---------|--|--|---|---------------|-------------------------------|--------------------------------|
| 4.9.1.2 | <u>Annual budgeting process</u> 4.9.1.2.1 Planning 4.9.1.2.2 Budget pro-forma 4.9.1.2.3 Salary schedules 4.9.1.2.4 Budget committee notes 4.9.1.2.5 First round submissions 4.9.1.2.6 Second round submissions 4.9.1.2.7 Final budget | D3 | Senior Accountant: Management Accounting Services | D1 | 3 | N |
| 4.9.1.3 | <u>Budget</u> 4.9.1.3.1 NWU Budget 4.9.1.3.2 Working copies | 4.9.1.3.1 A as part of Council records 4.9.1.3.2 D3 | Senior Accountant: Management Accounting Services | D1 | 3 | N |
| 4.9.1.4 | <u>Budget journals</u> <i>Journals are filed per campus, per year, e.g.</i> 4.9.1.4_VC_2020 | DAU5 | Senior Accountant: Management Accounting Services | D1 | 3 | N |
| 4.9.2 | <u>Budget Management</u> | | | | | |
| 4.9.2.1 | Variance reports <i>Data and variance reports are filed per month, e.g.</i> 4.9.2.1_FEB2020 | DAU5 | Senior Accountant: Management Accounting Services | D1 | 3 | N |
| 4.9.2.2 | Spending against reserves | DAU5 | Senior Accountant: Management Accounting Services | D1 | 3 | N |
| 4.9.3 | <u>Project closing</u> | | | | | |
| 4.9.3.1 | Journals <i>Journals are filed per campus, per project/year, e.g.</i> 4.9.3.1_VC_2020 | DAU5 | Senior Accountant: Management Accounting Services | D1 | 3 | N |
| 4.9.3.2 | Database | P on database | Senior Accountant: Management Accounting Services | D1 | 3 | N |
| 4.9.4 | <u>Assistance</u> | | | | | |
| 4.9.4.1 | Division of subsidy and class fees | DAU5 | Senior Accountant: Management Accounting Services | D1 | 3 | N |
| 4.9.4.2 | <u>Ad hoc requests</u> <i>Requests are filed per campus, per year, e.g.</i> 4.9.4.2_PC_2020 | D3 | Senior Accountant: Management Accounting Services | D1 | 3 | N |

| Ref # | Description of record | Disposal of original | Office responsible for record | Other offices | Classification of information | Contains personal information? |
|--------|--|---|-------------------------------|--|-------------------------------|--------------------------------|
| 4.10 | <u>Bursaries administration</u> | | | | | |
| 4.10.1 | <u>Documentation database</u> <i>Instant information and application forms are referenced by number and name of information or application form and year, e.g. 4.10.1_Undergrad_2020</i> | D3 after update | Bursaries officer | No records to be kept by other offices | 3 | N |
| 4.10.2 | <u>Regulations relating to bursaries</u> 4.10.2 NSFAS 4.10.2 NSFAS_DE 4.10.2 NSFAS_DET 4.10.2 NSFAS_DE_Disabilities 4.10.2 NSFAS_National_Scarce_Skills 4.10.2 NSFAS_SOC_DEV_Bursaries 4.10.2 NSFAS_Agriculture 4.10.2 NSFAS_Eastern_Cape_Scholarship 4.10.2 NSFAS_Funza_Lushaka 4.10.2 NSFAS_Nedbank <i>These records are records received from the various bursaries detailing the bursaries regulations. These are only kept as reference by SFFS</i> | D3 after expiration of regulations | Bursaries offices | No records to be kept by other offices | 3 | N |
| 4.10.3 | <u>Undergraduate bursaries administration</u> 4.10.3.1 University funded 4.10.3.2 Trust fund 4.10.3.3 Provincial government 4.10.3.4 Independent bursars 4.10.3.5 Meals 4.10.3.6 National government bursaries admin <i>A bursary file is referenced by number and name of the bursary, e.g. 4.10.3.6C_NSFAS</i> 4.10.3.6.1 Bursary application form 4.10.3.6.2 Student request form 4.10.3.6.3 Evaluation 4.10.3.6.4 Payments 4.10.3.6.5 Correspondence B1_1 ID document 4.10.3.6.7 Proof of income 4.10.3.6.8 Affidavit | P on electronic system Paper records: DAU5 | Bursaries officer | No records to be kept by other offices | 3 | Y |

| Ref # | Description of record | Disposal of original | Office responsible for record | Other offices | Classification of information | Contains personal information? |
|----------|--|---|-------------------------------|--|-------------------------------|--------------------------------|
| 4.10.4 | <u>Undergraduate bursaries reporting</u> 4.10.4.1 Evaluate bursary: Test run 4.10.4.2 Evaluate bursary 4.10.4.3 Bursary final allocation 4.10.4.4 Bursary payment report <i>Referenced by number and name of bursary, e.g. 4.10.4.3_GirlGuides</i> | P on electronic system Paper records: DAU5 | Bursaries officer | No records to be kept by other offices | 3 | Y |
| 4.10.5 | <u>Postgraduate bursaries administration</u> 4.10.5.1 Correspondence 4.10.5.2 Administration 4.10.5.5 Payment reconciliation 4.10.5.6 Recovery 4.10.5.7 Merits 4.10.5.8 Committee 4.10.5.9C Applications 4.10.5.9.1 Honours 4.10.5.9.2 Masters 4.10.5.9.3 Masters renewal 4.10.5.9.4 Doctoral 4.10.5.9.5 Doctoral renewal <i>Each application is a case file referenced as number and NWU number, e.g. 4.10.5C_12345678 and can contain the following:</i> <ul style="list-style-type: none"> • Application form • Academic record • ID document (referenced as biographical) • Passport • Registration certificate • Progress report • Evaluation • Opening registration | P on electronic system Paper records: DAU5 | Bursaries officer | No records to be kept by other offices | 3 | Y |
| 4.10.6.1 | Appeals register | P on electronic system Paper records: DAU5 | Bursaries officer | No records to be kept by other offices | 3 | Y |
| 4.10.6.2 | Book accounts per institution | P on electronic system Paper records: DAU5 | Bursaries officer | No records to be kept by other offices | 3 | Y |
| 4.10.6.3 | Private lease | DAU5 | Bursaries officer | No records to be kept by other offices | 3 | Y |

| Ref # | Description of record | Disposal of original | Office responsible for record | Other offices | Classification of information | Contains personal information? |
|----------|--|---|-------------------------------|--|-------------------------------|--------------------------------|
| 4.10.7 | <u>External bursaries administration</u> <i>A case file is opened for each institution and referenced by number and name of the institution, e.g. 4.10.7C_SASOL</i> <i>The case file can contain the following records:</i> <ul style="list-style-type: none"> • Application form • Student request form • Evaluation • Payments • Correspondence • ID document • Passport • Proof of income • Affidavit • Remittance advice • GL report payment report | P on electronic system Paper records: DAU5 | Bursaries officer | No records to be kept by other offices | 3 | Y |
| 4.10.7.1 | <u>Requisitions proof of payment</u> <i>A case files is opened and can contain the following:</i> <ul style="list-style-type: none"> • Requisition • GL report • Payment report | P on electronic system Paper records: DAU5 | Bursaries officer | No records to be kept by other offices | 3 | Y |
| 4.10.7.2 | Payment reconciliations | P on electronic system Paper records: DAU5 | Bursaries officer | No records to be kept by other offices | 3 | N |
| 4.10.7.3 | Unclaimed funds | P on electronic system Paper records: DAU5 | Bursaries officer | No records to be kept by other offices | 3 | N |
| 4.10.8 | Statistics | D5 | Bursaries officer | No records to be kept by other offices | 3 | N |
| 4.10.9 | Reconciliation of bank accounts | DAU5 | Bursaries officer | No records to be kept by other offices | 3 | Y |
| 4.10.10 | Ad-hoc financial assistance | DAU5 | Bursaries officer | No records to be kept by other offices | 3 | Y |
| 4.11 | Varsité vending system management and administration | P on system | Manager: Catering Services | No records to be kept by other offices | 3 | Y |

5. Facilities

User Guidelines

This series is used for the management of records relating to physical infrastructure of the NWU.

Although Occupational Health and Safety is a line function associated with facility management at the NWU, it is also a legislative required process and records relating to this subject are filed in main series 1: Governance (1.1.3).

- **Subseries 1** is used for the management of all records relating to **physical infrastructure management** and is used for records relating to improving and developing infrastructure of the NWU, i.e. building/macro changes, projects. Applications for changes, approvals, building projects and infrastructure planning and development are managed in this series. The main records owner in this series is the department physical infrastructure and planning.
- **Subseries 2** is used for the management of all records relating to **facilities management** at the NWU, and is used for records relating specifically to facilities management, such as building plans, space management and hiring and leasing of facilities and properties of the NWU. Any owner of a facility on any of the campuses must make use of subseries 5.2.4 when hiring out such facilities.
- **Subseries 3** is used for the management of all records relating to **maintenance management** of facilities of the NWU. Routine and daily maintenance through the technical services/operations department on the campuses are managed in this series. Technical services/operations also use this series for the administration of contractors used in maintenance tasks.
- **Subseries 4** is used for the management of all records relating to **fleet management**. The series is officially used by the fleet departments of technical services/operations but can also be used by departments who own vehicles for official university business.
- **Subseries 5** is used for the management of records relating to **energy management** at the NWU, especially with reference to municipal accounts and energy management systems.
- **Subseries 6** is used for the management of records related to **residence management**. The records in this series include residence administration and guest accommodation. The main record owner is the Residence and Catering departments on the campuses. For the financial aspects of residence management and guest house accommodation, main series 4 should be used.
- **Subseries 7** is used for the management of all records relating to **catering management**. These records in this series include dining hall and cafeteria administration. The main record owner is the Residence and Catering departments on the campuses.
- **Subseries 8** is used for the management of all records relating to **Information Technology management**. Records in this series should be filed in adherence to the Information Technology Policy (5P_5.8)

| Number | Policies |
|--------|---|
| 5P | 5P_5.1 Infrastructure Management Policy 5P_5.8 NWU Information and Communication Technology Governance Policy (ICT) 5P_5.8_A Information and Communication Technology Policy on Fair Use 5P_5.8_B NWU Policy and rules on data and information security RULES 5Pr_5.8_BYOD Bring your own device Rules and Responsibilities |

| | |
|---------------|--|
| | 5Pr_5.8_EM E-mail Rules and Guidelines 5Pr_5.8_A Fair use Rules and Guidelines Disposal of the Original: A after approval as part of Council records Office responsible for original: Corporate Information and Governance Services Other offices' disposal: D after update or revision |
| Number | Procedures, manuals, guidelines and strategies |
| 5Pr | 5Pr_5.4.3 Procedure for the lease of NWU fleet vehicles 5Pr_5.6 Rules of the University Residences and Day Houses of the North-West University 5Pr_5.6.5 Guidelines for accrediting private student accommodation providers and payments to accredited providers 5Pr_5.8.2a Rules for postgraduate students' computers connected to the network 5Pr_5.8.2b RESNET – Rules to connect to the campus network from a residence 5Pr_5.8.3.2 Rules for the use of the computer facilities 5Pr_5.8.4.2 Rules and guidelines for the use of electronic mail 5Pr_5.8.4.2G Guidelines regarding email etiquette 5Pr_5.8.4.7 Rules and guidelines for passwords 5Pr_5.8.5a Rules and guidelines for the protection of IT infrastructure 5Pr_5.8.5b Rules and guidelines for the use of hardware 5Pr_5.8.5c Rules and guidelines for the re-use and retirement of PC's and laptops 5Pr_5.8.5.1 Standardisation of printers and copiers 5Pr_5.8.4.4 Standardisation of legal use software 5Pr_5.2.7 Office relocation & allocation procedure Disposal of the Original: D5 after every update Office responsible for original: Manager in the specific division/process owner Other offices' disposal: D after update or revision |

| Ref # | Description of record | Disposal of original | Office responsible for record | Other offices | Classification of information | Contains personal information? |
|------------|--|--|--|----------------------|-------------------------------|--------------------------------|
| 5.1 | Physical infrastructure management | | | | | |
| 5.1.1 | <u>New project applications</u> A case file is opened and referenced 5.1.1C_macrochange_building number, e.g. 5.1.1C_macro_E12 The case file contains the following records: <ul style="list-style-type: none"> • Application • Surveys • Approval • | Successful applications: Taken to 5.1.6, a case file opened and included in 5.1.2 and 5.1.3 Unsuccessful applications: D2 | Admin Manager: Physical infrastructure and planning | D1 after application | 3 | N |

| Ref # | Description of record | Disposal of original | Office responsible for record | Other offices | Classification of information | Contains personal information? |
|-------|--|--|---|--|-------------------------------|--------------------------------|
| 5.1.2 | 5-year master plan | A as part of Council records – 1.3 | Admin Manager: Physical infrastructure and planning | D1 | 3 | N |
| 5.1.3 | Annual list of building priorities | A as part of Council records – 1.3 | Admin Manager: Physical infrastructure and planning | D1 after application | 3 | N |
| 5.1.4 | <u>Tenders</u> 5.1.4.1 Unsuccessful tenders | DAU5 5.1.4.1: D1 | Admin Manager: Physical infrastructure and planning | No records to be kept by other offices | 3 | Y |
| 5.1.5 | <u>Ad hoc projects</u> <i>A case file is opened and referenced 5.1.5_name of project</i> <i>A register of ad hoc projects is kept and references 5.1.5_register</i> | D3 | Admin Manager: Physical infrastructure and planning | No records to be kept by other offices | 3 | N |
| 5.1.6 | Benchmarking | D3 | Admin Manager: Physical infrastructure and planning | No records to be kept by other offices | 3 | N |
| 5.1.7 | <u>Building projects</u> <i>A case file is opened and referenced 5.1.7C_serialnumber, e.g. 5.1.7C_NWUP01_2020</i> Each project case file contains the following records: <ul style="list-style-type: none"> • Correspondence • Minutes • Requisitions • Tender documents • Quotations • Budget of QS • Material list • Advertisements • Tender reports • Appointment letters • Finances • Payments to contractors and suppliers/professional consultants • Unsuccessful contractors • Snag list • Certificates of practical completions • Certificates of final completion | D5 after completion of the project (if no litigation ensued) | Admin Manager: Physical infrastructure and planning | No records to be kept by other offices | 3 | Y |

| Ref # | Description of record | Disposal of original | Office responsible for record | Other offices | Classification of information | Contains personal information? |
|---------|--|---|--|--|-------------------------------|--------------------------------|
| 5.1.7.1 | Project register | P in office of origin A at year end | Admin Manager: Physical infrastructure and planning | No records to be kept by other offices | 3 | N |
| 5.1.7.2 | Building projects contracts | D5 after expiration of contracts and no litigation ensued | Admin Manager: Physical infrastructure and planning | No records to be kept by other offices | 3 | N |
| 5.1.8 | Contractor/Supplier database | P in office of origin | Admin Manager: Physical infrastructure and planning | No records to be kept in other offices | 3 | Y |
| 5.1.9 | <u>Electrical and Electronic projects</u> <i>A case file is opened and referenced by number and project name/number and date, e.g. 5.1.9C_123A_2017</i> The case file contains the following records: 5.1.9.1 Application form 5.1.9.2 Project register 5.1.9.3 Project plans 5.1.9.4 Quality assurance 5.1.9.5 Client service questionnaire | D5 after expiration of contract and no litigation ensued | IT-Electronic services | No record to be kept by other offices | 3 | Y |
| 5.2 | <u>Facilities management</u> | | | | | |
| | For HEMIS statistics – please use reference 2.6.1.3.3 (Management Information) | | | | | |
| 5.2.1 | Surveys | D1 after completion of database statistics | Admin Manager: Physical infrastructure and planning | No records to be kept in other offices | 3 | Y |
| 5.2.2 | Building plans | P in office of origin | Admin Manager: Physical infrastructure and planning | No records to be kept in other offices | 3 | N |
| 5.2.3 | Facilities management programme | P in electronic database | Admin Manager: Physical infrastructure and planning | No records to be kept in other offices | 3 | N |
| 5.2.4 | <u>Facilities use and hire</u> <i>A case file is opened and referenced by number and facility name, e.g. 5.2.4C_conservatory</i> <ul style="list-style-type: none"> • Payments received • Accounts • Hire contracts • Hire forms | D5 after expiry | Owner of the facility/IT-support | No record to be kept by other offices | 3 | Y |

| Ref # | Description of record | Disposal of original | Office responsible for record | Other offices | Classification of information | Contains personal information? |
|---------|---|--|-------------------------------------|--|-------------------------------|--------------------------------|
| 5.2.5 | <u>Property letting</u> <u>5.2.5.1 Lease documentation</u> <i>A case file is opened for each property and referenced by number and name, e.g. 5.2.5.2C_nameofproperty</i> A case file will contain the following records: 5.2.5.1.1 Lease contracts/agreements 5.2.5.1.2 Lease forms 5.2.5.1.3 Water and electricity bills 5.2.5.1.4 Payments received (also refer to series 4) 5.2.5.1.5 Invoices (also refer to series 4) | D5 after expiry of the lease | Manager: Technical Services | D1 | 3 | Y |
| 5.2.6 | Specialised facilities | D3 | Manager of the facility | D1 | 3 | Y |
| 5.2.7 | Office relocation and allocation request letter | D3 | Director: Space management | D1 | 3 | Y |
| 5.2.7.1 | Office allocation sheet | D3 | Director: Space management | D1 | 3 | Y |
| 5.2.8 | Space or infrastructure application form | D5 | Director: Space management | D1 | 3 | Y |
| 5.3 | <u>Maintenance Management</u> | | | | | |
| 5.3.1 | <u>Micro/smaller changes</u> | | | | | |
| 5.3.1.1 | List | A as part of Council records – 1.3 | Manager: Operations and Maintenance | D1 | 3 | N |
| 5.3.2 | <u>Routine, daily preventative maintenance</u> | | | | | |
| 5.3.2.1 | <u>Planning</u> 5.3.2.1.1 5-year plan 5.3.2.1.2 10-year plan 5.3.2.1.3 Preliminary quotations | D3 | Manager: Operations and Maintenance | No records to be kept by other offices | 3 | N |
| 5.3.2.2 | <u>Requests</u> 5.3.2.2.1 Client service forms | D after request is finalized | Manager: Operations and Maintenance | D3 months | 3 | N |
| 5.3.2.3 | <u>Job cards administration</u> <i>A case file is opened for each tradesman and referenced by number and name, e.g. 5.3.2.3C_John</i> 5.3.2.3.1 Job card reports | D after termination of the employment of the tradesman | Manager: Operations and Maintenance | No records to be kept by other offices | 3 | Y |
| 5.3.2.4 | <u>Tradesman files</u> <i>A case file is opened for each tradesman and referenced by number and name, e.g. 5.3.2.4C_John</i> A case file contains the following records: <ul style="list-style-type: none"> Vehicle information Equipment | D after termination of employment of the tradesman | Manager: Operations and Maintenance | No records to be kept by other offices | 3 | Y |

| Ref # | Description of record | Disposal of original | Office responsible for record | Other offices | Classification of information | Contains personal information? |
|---------|--|----------------------|---|--|-------------------------------|--------------------------------|
| 5.3.2.5 | <u>Maintenance and service administration</u> | | | | | |
| | Each service is dealt with as a case file and referenced by number and type of service, e.g. 5.3.2.5C_cleaning_conveyor 5.3.2.5C_gardeining 5.3.2.5C_refuse 5.3.2.5C_electrical_and_electronic | D3 | Manager: Operations and Maintenance | D1 | 3 | N |
| 5.3.3 | <u>Contractor administration</u> | | | | | |
| 5.3.3.1 | <i>A case file is opened for each contractor and referenced by number and name of contractors, e.g. 5.3.3.1C_AEG_Electrical</i> The case file will contain the following records: <ul style="list-style-type: none"> • Tender advertisement • Tender documentation • Discussion Forums • Contractor contract (to also be submitted to Legal Services) • Contractor payments (refer to series 4) • Copies of material used | D5 | Manager: Operations and Maintenance | D1 | 3 | Y |
| 5.3.3.2 | <u>Closed quotations</u> <i>A case file is opened for each quotation number and referenced by number and quotation number, e.g. 5.3.3.2C)123456</i> | D5 | Manager: Operations and Maintenance | D1 | 3 | N |
| 5.4 | <u>Fleet management</u> This series is used by the fleet departments of technical services, but can also be used by departments who own vehicles for official university business | | | | | |
| 5.4.1 | <u>Purchasing of new vehicles</u> | | | | | |
| 5.4.1.1 | Quotations of new vehicles | D5 | Fleet manager Person responsible for the vehicle | No records to be kept by other offices | 3 | N |
| 5.4.1.2 | Tenders for purchasing of new vehicles | D5 | Fleet manager Person responsible for the vehicle | No records to be kept by other offices | 3 | N |
| 5.4.1.3 | Tenders for selling vehicles | D5 | Fleet manager Person responsible for the vehicle | No records to be kept by other offices | 3 | N |

| Ref # | Description of record | Disposal of original | Office responsible for record | Other offices | Classification of information | Contains personal information? |
|---------|---|--|---|--|-------------------------------|--------------------------------|
| 5.4.2 | <u>Vehicle administration</u> <i>Each vehicle is dealt with as a case file and referenced by number and vehicle registration number, e.g. 5.4.2C_FTJ776NW and will contain the following records:</i> <ul style="list-style-type: none"> • Proof of purchase • Registration • Licence • Service record • Proof of resale of vehicle | D5 after re-selling of vehicle | Fleet manager Person responsible for the vehicle | No records to be kept by other offices | 3 | Y |
| 5.4.2.1 | <u>Vehicle daily kilometres travel form</u> | D5 | Fleet manager Person responsible for the vehicle | No records to be kept by other offices | 3 | N |
| 5.4.3 | <u>Vehicle reservations</u> | | | | | |
| 5.4.3.1 | Copies of drivers' licences 5.4.3.1.1 Application for a NWU licence | D after termination of service D after expiry of licence cards D after expiry of NWU licence | Fleet manager Person responsible for the vehicle | No records to be kept by other offices | 4 | Y |
| 5.4.3.2 | Bookings/reservations permit/form 5.4.3.2.1 Transport Tariffs | D3 D after annual update | Fleet manager Person responsible for the vehicle | No records to be kept by other offices | 3 | N |
| 5.4.3.3 | Client service forms | D3 | Fleet manager Person responsible for the vehicle | No records to be kept by other offices | 3 | Y |
| 5.4.3.4 | Indemnity forms | D3 | Fleet manager Person responsible for the vehicle | No records to be kept by other offices | 3 | Y |
| 5.4.3.5 | Route slips by requisition numbers | D5 | Fleet manager Person responsible for the vehicle | No records to be kept by other offices | 3 | N |
| 5.4.3.6 | Vehicle reservation permit books | D3 | Fleet manager Person responsible for the vehicle | No records to be kept by other offices | 3 | N |
| 5.4.4 | <u>Traffic fines</u> | | | | | |
| 5.4.4.1 | Fines received | D5 | Fleet manager Person responsible for the vehicle | No records to be kept by other offices | 3 | Y |
| 5.4.4.2 | Proof of fines paid | D5 | Fleet manager Person responsible for the vehicle | No records to be kept by other offices | 3 | Y |

| Ref # | Description of record | Disposal of original | Office responsible for record | Other offices | Classification of information | Contains personal information? |
|---------|--|-----------------------|--|--|-------------------------------|--------------------------------|
| 5.4.4.3 | Renaming of fines (not paid yet) | D5 | Fleet manager Person responsible for the vehicle | No records to be kept by other offices | 3 | Y |
| 5.4.5 | Satellite tracking | D5 | Fleet manager Person responsible for the vehicle | No records to be kept by other offices | 3 | Y |
| 5.4.6 | Fuel | | | | | |
| 5.4.6.1 | Daily dip-readings | D3 | Fleet manager Person responsible for the vehicle | No records to be kept by other offices | 3 | N |
| 5.4.6.2 | Orders for fuel | D3 | Fleet manager Person responsible for the vehicle | No records to be kept by other offices | 3 | N |
| 5.4.6.3 | <u>Delivery invoices</u> | D3 | Fleet manager Person responsible for the vehicle | No records to be kept by other offices | 3 | N |
| 5.4.6.4 | <u>Private fuel claims</u> | D3 | Fleet manager Person responsible for the vehicle | No records to be kept by other offices | 3 | Y |
| 5.4.6.5 | Fuel booklets | D3 | Fleet manager Person responsible for the vehicle | No records to be kept by other offices | 3 | N |
| 5.4.6.6 | <u>Fleet credit card administration</u> | DAU5 | Manager: Technical services | No records to be kept by other offices | 3 | N |
| 5.5 | Energy and Environmental management | | | | | |
| 5.5.1 | Accounts issued | DAU5 | Manager: Technical Services | No records to be kept by other offices | 3 | N |
| 5.5.2 | <u>Database management</u> 5.5.2.1 Municipal accounts 5.5.2.2 Meter readings | P in office of origin | Manager: Technical Services | No records to be kept by other offices | 3 | N |
| 5.5.3 | Planning | P in office of origin | Admin Manager: Physical infrastructure and planning | D1 | 3 | N |

| Ref # | Description of record | Disposal of original | Office responsible for record | Other offices | Classification of information | Contains personal information? |
|---------|---|--|--|--|-------------------------------|--------------------------------|
| 5.5.4 | Energy management system | P on electronic system | Admin Manager: Physical infrastructure and planning | No records to be kept by other offices | 3 | N |
| 5.5.5 | Environmental management | D5 | Admin Manager: Physical infrastructure and planning | No records to be kept by other offices | 3 | N |
| 5.6 | Residence management | | | | | |
| 5.6.1 | <u>Residence administration</u> <i>A case file is opened for each residence and referenced by number and name of the residence, e.g. 5.6.1C_Patria or 5.6.1C_Faranani</i> The case file will contain the following records: <ul style="list-style-type: none"> • Information about the residence officer • Residence officer reports • Problems and other matters • Cancellation of studies • Disciplinary matters • Maintenance • Tenders • Statistics • Placements • Residence occupation | D3 | Manager: Residences | D3 | 3 | Y |
| 5.6.1.1 | <u>Student residence administration</u> 5.6.1.1.1 Application form (first years) 5.6.1.1.2 Form for senior students 5.6.1.1.3 Residence list 5.6.1.1.4 Passage list 5.6.1.1.5 Cancellation form 5.6.1.1.6 Acknowledgement of receipt 5.6.1.1.7 Transfer form 5.6.1.1.8 Placement cards 5.6.1.1.9 Own furniture in room form 5.6.1.1.10 Breakage/Fines in residences 5.6.1.1.11 Indemnity form for the storage of personal goods 5.6.1.1.12 Application for holiday accommodation in residence | 5.6.1.1.1 and 5.6.1.1.2 P on VSS 5.6.1.1.3 – 5.6.1.1.5 D5 | Manager: Residences | No records to be kept by other offices | 3 | Y |

| Ref # | Description of record | Disposal of original | Office responsible for record | Other offices | Classification of information | Contains personal information? |
|---------|--|--|---|--|-------------------------------|--------------------------------|
| 5.6.1.2 | Statistics | P in office of origin | Manager: Residences | No records to be kept by other offices | 3 | N |
| 5.6.1.3 | Maintenance administration 5.6.1.3.1 Student Notice of maintenance work in room | D1 | Residence officer | No records to be kept by other offices | 3 | Y |
| 5.6.2 | <p><u>Guest accommodation administration</u> <i>A case file is opened for each residence and referenced by number and name of the residence, e.g. 5.6.2C_Asrtovilla.</i> The case file will contain the following records:</p> <p>5.6.2.1 Bookings 4.1.8.1 Invoices 4.1.8.2 Payments 2.4.1 Agreements 4.1.8.3 Reconciliations 5.6.2.2 Guest registration card</p> <p>For the management of income from guesthouses, please refer to 4.1.8</p> | DAU5 | Manager: Residences 2.4.1 – Record must be submitted to Legal Services | No records to be kept by other offices | 3 | Y |
| 5.6.3 | <p><u>Project administration for maintenance</u> <i>A case file is opened and referenced by number and name of the project, e.g. 5.6.3C_Kasteel</i></p> | D5 after completion of the project of no litigation ensued | Manager responsible for the project | No records to be kept by other offices | 3 | N |
| 5.6.4 | Pukki stay | DAU5 | Manager: Residences | No records to be kept by other offices | 3 | Y |
| 5.6.5 | <p><u>NSFAS off campus accommodation management</u> <u>5.6.5.1 Accreditation process</u> 5.6.5.1.1 Application form 5.6.5.1.2 Proof of payment of application fee 5.6.5.1.3 Example of lease agreement 5.6.5.1.4 Proof of ownership 5.6.5.1.5 Municipal account 5.6.5.1.6 Copies of IDs of owner(s)/director(s) 5.6.5.1.7 Tax clearance certificate(s) 5.6.5.1.8 Proof of banking details 5.6.5.1.9 Proof of installation of Wi-Fi 5.6.5.1.10 Zoning certificate/proof of application 5.6.5.1.11 Proof of generator 5.6.5.1.12 Gas installation certificate 5.6.5.1.13 Proof of emergency water supply 5.6.5.1.14 Fire equipment installation</p> | | | | | |

| | | | | | | |
|---------|--|-------------------|-------------------------------|--|---|---|
| | 5.6.5.1.15 Fire equipment inspection certificates 5.6.5.1.16 Insurance certificate for public liability 5.6.5.2 Desktop accreditation process <u>5.6.5.3 Inspections</u> 5.6.5.3.1 Inspection forms <u>5.6.5.4 Safety and Security</u> 5.6.5.4.1 Rules for safety and security <u>5.6.5.5 Appeals process</u> 5.6.5.5.1 Application for appeal 5.6.5.5.2 Outcome of appeal <u>5.6.5.6 De-accreditation process</u> | | | | | |
| 5.7 | <u>Catering management</u> | | | | | |
| 5.7.1 | <u>Dining hall administration</u> <i>A case file is opened for each of the subjects and referenced as indicated, e.g. 5.7.1.2C_</i> 5.7.1.1 Maintenance 5.7.1.2 Upgrades 5.7.1.3 Equipment 5.7.1.4 Menus 5.7.1.5 Uniforms 5.7.1.6 Recipes 5.7.1.7 Special functions 5.7.1.8 Statistics 5.7.1.9 Varsity Vending | D3 | Manager: Catering Services | No records to be kept by other offices | 3 | Y |
| 5.7.2 | <u>Cafeteria and restaurant management</u> | | | | | |
| 5.7.2.1 | <u>Menu planning</u> 5.7.2.1.1 Cost calculations per menu 5.7.2.1.2 Price increases 5.7.2.1.3 Product analysis 5.7.2.1.4 Price comparisons 5.7.2.1.5 Market research 5.7.2.1.6 Specials and promotions | D3 | Manager: Cafeteria/Restaurant | No records to be kept by other offices | 3 | Y |
| 5.8 | <u>Information Technology management</u> | | | | | |
| 5.8.1 | <u>Workstation management</u> 5.8.1.1 Purchase of a workstation from the NWU | D5 after purchase | Manager: IT | No records to be kept by other offices | 3 | N |

| Ref # | Description of record | Disposal of original | Office responsible for record | Other offices | Classification of information | Contains personal information? |
|-------|--|--|-------------------------------|--|-------------------------------|--------------------------------|
| 5.8.2 | <u>IT-Electronic projects</u> <i>A case file is opened and referenced by number and project name/number and date, e.g. 5.8.2_123A_2017</i> The case file will contain the following records: 5.8.2.1 Application form/information 5.8.2.2 Project register 5.8.2.3 Project plans 5.8.2.4 In construction notice 5.8.2.5 Quality assurance 5.8.2.6 Communication 5.8.2.7 Completed notice <i>Copies of all financial records relating to the project will be include in the case file (refer to series 4 of the File plan).</i> | D5 after expiration of contract and no litigation ensued Original records are in electronic format. Paper copies are kept for reference purposes only. | IT-Electronic services | No records to be kept by other offices | 3 | Y |
| 5.8.3 | <u>Student services</u> 5.8.3.1 Work log 5.8.3.2 Device checklist | D3 after finalization of request | IT service desk | D1 | 3 | Y |
| 5.8.4 | IT Walk in services – Staff 5.8.2.1 <u>Application for new telephone extension</u> 5.8.2.2 Book-in Form 5.8.2.3 | D3 after completion of the request/service | IT Walk in service desk | No records to be kept by other offices | 3 | Y |
| 5.8.5 | Telephone services 5.8.5.1 Application for office telephone services | D3 after completion of the request/service | Information Technology | No records to be kept by other offices | 3 | Y |
| 5.8.6 | IT Electronic Services Management 5.8.6.1 Application as CCTV user 5.8.6.2 Application as SACS user | | | | | |

6. Branding, Marketing and Communication

User Guidelines

This main series is used for the management of records relating to branding, marketing and communication activities of the NWU as a whole, as well as campuses, faculties, schools and departments. As such, numerous offices may be responsible for the management of the original records, as the activity is not centralised.

- **Subseries 1** is used for the management of all records relating to the **brand of the NWU**. Information on branding campaigns, corporate identity, trademarks, etc, are managed in this series and mainly belong to the Office of the Executive Director: Corporate Relations and Marketing and for campus applications, the directors: Marketing and Communication on the campuses.
- **Subseries 2** is used for the management of all records relating to **communication** activities at the NWU and the owners of these records may vary. The actual newsletter, leaflet etc. as per occasion is filed in this series. The records relating to the internet are kept in accordance with the Web Policy)6P_6.2.3.2.1)
- **Subseries 3** is used for the management of all records relating to **fundraising** activities. A case file is opened according to the nature of the fundraising activity. All fundraising activities are files in this series, and as such, record owners may vary.
- **Subseries 4** is used for the management of all records relating to **stakeholder relations**. A case file is opened for each special stakeholder relations event. These events are varied in nature and include events such as stakeholder events, client events, etc., i.e. any event with a marketing or communication aspect. Please note that for official University ceremonies such as opening and closings, inaugurations etc. series 2.16 should be used. Graduation ceremonies are dealt with in series 7.1.12.
- **Subseries 5** is used for the management of records relating to **alumni**. The subseries is however not used for managing records of the convocation, which are dealt with in series 1.3. Alumni events are managed as case files.
- **Subseries 6** is used for the management of records related to **campus marketing activities for student recruitment**. Records are dealt with as case files within the specific marketing programme they relate to.
- **Subseries 7** is used for the management of all records relating to **institutional advancement** activities. A case file is opened according to the nature of the activity.

| Number | Policies |
|--------|--|
| 6P | 6P_6.1 Brand Policy 6P_6.2 Communication Policy 6P_6.2.3 Media Policy 6P_6.2.3.2.1 NWU Online Publication Policy 6P_6.3 Development and Fundraising Policy 6P_6.5 Alumni Relations Policy 6P_6.6 NWU Recruitment Policy Disposal of the Original: A after approval as part of Council records Office responsible for original: Corporate Information and Governance Services Other offices' disposal: D after update or revision |

| Number | Procedures, manuals, guidelines and strategies |
|--------|--|
| 6Pr | 6Pr_6.1.2.3 Procedure for secondary logos 6Pr_6.2.3.2.1 Social media guidelines for NWU students and staff 6Pr_6.7 Conceptual Framework for institutional advancement 6Pr_6.3 Procedure – Development and Fundraising Disposal of the Original: D5 after every update Office responsible for original: Manager in the specific division/process owner Other offices' disposal: D after update or revision |

| Ref # | Description of record | Disposal of original | Office responsible for record | Other offices | Classification of information | Contains personal information? |
|--------------|--|---|-------------------------------|--|-------------------------------|--------------------------------|
| 6.4 | Brand management | | | | | |
| 6.1.1 | Strategy, planning and research | D5 | Brand Manager | No records to be kept by other offices | 3 | N |
| 6.1.2 | Corporate identity | | | | | |
| 6.1.2.1 | Manual | A after every update | Brand Manager | No records to be kept by other offices | 2 | N |
| 6.1.2.2 | Logo, swoosh and pay-off line | Correspondence: D5 A examples of finalised products as soon as finalised | Brand Manager | No records to be kept by other offices | 2 | N |
| 6.1.2.3 | <u>Secondary logos</u> 6.1.2.3.1 Application form 6.1.2.3.2 Approvals 6.1.2.3.3 Register 6.1.2.3.4 Criteria matrix | 6.1.2.3.1 and 6.1.2.3.2 A1 as part of CCID/ICBIS minutes (2.2.2) 6.1.2.3.3 A after logos have been added | Brand Manager | D1 | 3 | N |
| 6.1.2.4 | Visual image | A | Brand Manager | D1 | 3 | N |
| 6.1.2.5 | Stationery | A examples of stationery as soon as received | Brand Manager | D1 | 3 | N |
| 6.1.2.6 | <u>Clothing and sportswear</u> 6.1.2.7.1 Informal 6.1.2.7.2 Sports 6.1.2.7.3 Official Ceremonial regalia (refer to 7.1.12.9) | A examples as soon as received | Brand Manager | No records to be kept by other offices | 3 | N |
| 6.1.2.8 | Signage | A paper examples as soon as finalised | Brand Manager | No records to be kept by other offices | 3 | N |
| 6.1.2.9 | Interior design | A paper examples as soon as finalised | Brand Manager | No records to be kept by other offices | 3 | N |
| 6.1.2.10 | Academic poster | A paper examples as soon as finalized | Brand Manager | No records to be kept by other offices | 3 | N |

| Ref # | Description of record | Disposal of original | Office responsible for record | Other offices | Classification of information | Contains personal information? |
|---------|---|---------------------------------------|-----------------------------------|--|-------------------------------|--------------------------------|
| 6.1.3 | Communication branding 6.1.3.1 Cards and invites 6.1.3.2 Graduation ceremonies and official openings 6.1.3.3 Publications, newsletters and annual reports 6.1.3.4 Covers 6.1.3.5 Brochures 6.1.3.6 | A paper examples as soon as finalised | Brand Manager | No records to be kept by other offices | 3 | N |
| 6.1.4 | <u>Advertising and marketing branding</u> 6.1.4.1 Print 6.1.4.2 Radio 6.1.4.3 TV 6.1.4.4 Outdoor 6.1.4.5 Posters 6.1.4.6 <u>Promotional</u> 6.1.4.6.1 Corporate gifts 6.1.4.6.2 Direct mail <i>Files should be referenced by number, OE and date, e.g. 6.1.4.1C_P_2008</i> | A paper examples as soon as finalised | Brand Manager | No records to be kept by other offices | 3 | N |
| 6.1.5 | <u>Electronic media branding</u> 6.1.5.1 PowerPoint 6.1.5.2 Video 6.1.5.3 E-mail 6.1.5.4 Online | A paper examples as soon as finalised | Brand Manager | No records to be kept by other offices | 3 | N |
| 6.1.6 | <u>Internal branding</u> 6.1.6.1 employee engagement | A paper examples as soon as finalised | Brand Manager | No records to be kept by other offices | 3 | N |
| 6.2 | <u>Communication</u> | | | | | |
| 6.2.1 | <u>Plans/Strategy</u> <i>Referenced with number and OE, e.g. 6.2.1_M or P or V</i> | D3 | Director: Corporate Communication | No records to be kept by other offices | 3 | N |
| 6.2.2 | <u>Internal channels</u> | | | | | |
| 6.2.2.1 | Register | A after changes | Director: Corporate Communication | No records to be kept by other offices | 3 | N |

| Ref # | Description of record | Disposal of original | Office responsible for record | Other offices | Classification of information | Contains personal information? |
|-----------|--|---|--|--|-------------------------------|--------------------------------|
| 6.2.2.2 | <u>Print</u> <i>Each print media is a case file referenced by number, OE and name of media, e.g. 6.2.2.2C_P_PocketStatistics</i> The case file will contain the following records: <ul style="list-style-type: none"> • Research • Correspondence • Procedures/processes • Budget • Consultations/agreements • Ad-hoc matters • Final printed material | A the final printed material as soon as finalised All other record D3 | Director: Corporate Communication | No records to be kept by other offices | 3 | N |
| 6.2.2.3 | <u>Electronic</u> | | | | | |
| 6.2.2.3.1 | <u>Intranet</u> This file will contain the following records: <ul style="list-style-type: none"> • Site map • Correspondence • Planning/strategy | A4 months | Director: Corporate Communication | D1 | 3 | N |
| 6.2.2.3.2 | <u>Media</u> <i>Each electronic media file is a case file and is referenced by number, OE and name of the media, e.g. 6.2.2.3.2C_V_DirectorDesk and will contain the following records:</i> <ul style="list-style-type: none"> • Research • Correspondence • Procedures/processes • Budget • Consultations/agreements • Ad-hoc matters • Final printed copy of media | Final printed media: A as soon as finalised Rest of the file: D3 | Director: Corporate Communication Staff member responsible for the newsletter/communication material in the faculties, schools or departments | D1 | 3 | N |
| 6.2.2.3.3 | Other | Final printed media: A as soon as finalised Rest of the file: D3 | Director: Corporate Communication Staff member responsible for the newsletter/communication material in the faculties, schools or departments | D1 | 3 | N |

| Ref # | Description of record | Disposal of original | Office responsible for record | Other offices | Classification of information | Contains personal information? |
|-----------|---|---|--|--|-------------------------------|--------------------------------|
| 6.2.3 | <u>External channels</u> | | | | | |
| 6.2.3.1 | <u>Print</u> <i>Each printed media is a case file and referenced by number and name of the media utilised, e.g. 6.2.3.1C_Beeld and will contain the following records:</i> <ul style="list-style-type: none"> • Research • Correspondence • Procedures/processes • Budget • Consultations/agreements • Ad-hoc matters • Final printed copy of media | Final printed media: A as soon as finalised Rest of the file: D3 | Director: Corporate Communication Staff member responsible for the newsletter/communication material in the faculties, schools or departments | D1 | 2 | N |
| 6.2.3.2 | <u>Electronic</u> | | | | | |
| 6.2.3.2.1 | <u>Internet</u> <i>Case file referenced by number and URL, e.g. 6.2.3.2.1C_sun.ac.za</i> <ul style="list-style-type: none"> • | A6 months | Director: Corporate Communications | D1 | 2 | N |
| 6.2.4 | <u>Media releases</u> Case file referenced by number and date and subject of release, e.g. 6.2.4C_20150119_unrest | A as soon as finalised | Director: Corporate Communications | D1 | 2 | Y |
| 6.2.5 | Media monitoring | D3 | Director: Corporate Communications | No records to be kept by other offices | 3 | N |
| 6.2.6 | Publicity profile | D3 | Director: Corporate Communications | No records to be kept by other offices | 3 | N |
| 6.2.7 | Image/Reputation management | D3 | Director: Corporate Communications | No records to be kept by other offices | 3 | N |
| 6.2.8 | Public opinion management | D3 | Director: Corporate Communications | No records to be kept by other offices | 3 | N |
| 6.2.9 | Positioning and alignment | D3 | Director: Corporate Communications | No records to be kept by other offices | 3 | N |
| 6.3 | <u>Fundraising</u> | | | | | |
| 6.3.1 | Strategy | A1 | Staff responsible for fundraising in faculties, schools or departments | No records to be kept by other offices | 3 | N |
| 6.3.2 | Database administration | P on database Paper records D2 | Staff responsible for fundraising in faculties, schools or departments | No records to be kept by other offices | 3 | Y |
| 6.3.3 | <u>Donations/Contributions</u> <i>Case file referenced by number, OE and name of donor, e.g. 6.3.3C_P_SANLAM</i> | DAU5 | Staff responsible for fundraising in faculties, schools or departments | No records to be kept by other offices | 3 | Y |

| Ref # | Description of record | Disposal of original | Office responsible for record | Other offices | Classification of information | Contains personal information? |
|-------|---|---|--|--|-------------------------------|--------------------------------|
| 6.3.4 | <u>Sponsorships</u> <i>Case file referenced by number, OE and name of the sponsor, e.g. 6.3.4C_M_ABSA</i> | DAU5 | Staff responsible for fundraising in faculties, schools or departments | No records to be kept by other offices | 3 | Y |
| 6.3.5 | <u>Partnerships</u> <i>Case file referenced by number, OE and name of partner, e.g. 6.3.5C_V_NMMU</i> | D7 | Staff responsible for fundraising in faculties, schools or departments | No records to be kept by other offices | 3 | Y |
| 6.3.6 | Endowment fund | DAU5 | Manager: Money Market | No records to be kept by other offices | 3 | Y |
| 6.3.7 | <u>Projects</u> 6.3.7.1 Proposal 6.3.7.2 Registration | D3 | Staff responsible for fundraising in faculties, schools or departments | No records to be kept by other offices | 3 | N |
| 6.4 | <u>Stakeholder Relations</u> | | | | | |
| 6.4.1 | Database administration | P on database | Director: Corporate Communications | D1 | 3 | Y |
| 6.4.2 | <u>Special internal events management</u> <i>Each event is a case file referenced by number and name of the event, e.g. 6.4.2C_M_secretaries_breakfast</i> | Photos, descriptions and brochures/material of events: A Other records relating to the arrangements of the event: D2 | Event coordinator Staff hosting special events | D1 | 3 | Y |
| 6.4.3 | <u>Business sector relations</u> <i>Each event is a case file- referenced by number and name of the event, e.g. 6.4.3C_V_Director_function</i> | Photos, descriptions and brochures/material of events: A Other records relating to the arrangements of the event: D2 | Director: Corporate Communications | No records to be kept by other offices | 3 | Y |
| 6.5 | <u>Alumni management</u> | | | | | |
| 6.5.1 | Database administration | P on database Paper records: D2 | Director: Marketing and Communication | No records to be kept by other offices | 3 | Y |
| 6.5.2 | <u>Alumni events</u> <i>Each event is a case file referenced by number, OE and name of the event, e.g. 6.5.2C_V_Reunion1994 and will contain the following records:</i> 6.5.2.1 Invitation 6.5.2.2 Planning 6.5.2.3 Communication 6.5.2.4 NWU Alumni Interest Group Event Report | Photos, descriptions and brochures/material of events: A Other records relating to the arrangements of the event: D2 | Director: Marketing and Communication | No records to be kept by other offices | 3 | Y |

| Ref # | Description of record | Disposal of original | Office responsible for record | Other offices | Classification of information | Contains personal information? |
|---------|---|--|---|--|-------------------------------|--------------------------------|
| 6.5.3 | Alumni data form | P on database Paper records: D2 | Director: Marketing and Communication | No records to be kept by other offices | 3 | Y |
| 6.5.4 | <u>Chapter/Interest Group Administration</u> | | | | | |
| 6.5.3.1 | Alumni Interest Group Agreement and Registration | D5 | Director: Marketing and Communication | No records to be kept by other offices | 3 | Y |
| 6.6 | <u>Student recruitment management</u> | | | | | |
| 6.6.1 | <u>Strategy</u> <i>Case file referenced by number, OE, e.g. 6.6.1C_M or P or V</i> | D3 | Director: Marketing and Communication | No records to be kept by other offices | 3 | N |
| 6.6.2 | <u>Plan</u> <i>Case file referenced by number, OE, e.g. 6.6.2_M or P or V</i> | D3 | Director: Marketing and Communication | No records to be kept by other offices | 3 | N |
| 6.6.3 | <u>Liaison programme</u> <i>Each event in the programme is dealt with as a case file and referenced by number, OE and event name, e.g. 6.6.3C_P_careershow</i> | D5 | Director: Marketing and Communication | No records to be kept by other offices | 3 | N |
| 6.6.4 | <u>Direct marketing programme</u> <i>Each event is dealt with as a case file and referenced by number, OE and event name, e.g. 6.6.4_M_school_visits</i> | D5 | Director: Marketing and Communication | No records to be kept by other offices | 3 | N |
| | <u>Advertising programme</u> Please refer to 6.1.5 and reference each event by number, OE and event name, e.g. 6.1.5C_P_OFM | A1 | Director: Marketing and Communication | No records to be kept by other offices | 3 | N |
| | <u>Promotions programme</u> Please refer to 6.1.4 and reference each event by number, OE and event name, e.g. 6.1.4C_V_banners | D5 | Director: Marketing and Communication | No records to be kept by other offices | 3 | N |
| 6.7 | <u>Institutional advancement</u> | | | | | |
| | <i>Referenced by number, OE and name of donor, e.g. 6.7_M_SANLAM</i> | DAU5 | Staff responsible for institutional advancement | No records to be kept by other offices | 3 | N |
| 6.7.1 | Meal-a-day application form | DAU5 | Staff responsible for institutional advancement | No records to be kept by other offices | 3 | Y |

7. Student administration, systems and affairs

User Guidelines

This main series is used for the management of records relating to student academic administration/Lifecycle administration (including admissions, registration, class attendance, examinations, graduation etc.), the student administration system 9VSS) and student affairs (including sport, culture, student counselling etc.). Most of the records will be held by the Student Academic lifecycle administrations/services (SALA), student services and Student administrative departments.

- **Subseries 1** is used for the management of all records relating to **student academic lifecycle administration**. The main records owner is student academic lifecycle administration (SALA) and most of the records are placed on the official student file. A student file is referenced 7.1C_NWU number, e.g. 7.1C_12345678. All records placed on the official student file should be referenced by the number of the record and the student's NWU number, e.g. 7.1.1.2_12345678. A student file is opened in series 7.1 only. The official student file is held by SALA. In cases where student files are opened in the faculty, it is mandatory that the copy of the student file is sent to SALA to be merged with the official student file in the event of the student graduating or termination of studies.

This series consist of 12 subdivisions:

- **Subdivision 1** is used for the management of records relating to **admissions**. In cases of foreign students the admissions office deals with the admission of the foreign student while the International Office deals with the legal aspects of foreign students. A foreign student has to be listed on the database held by the International Office, refer to 2.8.1.2. records in this series are managed in adherence to the Admissions Policy (7P_7.1.1).
- **Subdivision 2** is used for the management of records relating to **student registration**.
- **Subdivision 3** is used for the management of records relating to student **class attendance** administration. These records are administered by the faculties by either the lecturer or the faculty manager/administrator and will depend upon the process followed by the specific Faculty. Class timetables are administered by student Administrative Systems (SAS), medical certificates may be placed on the official student file.
- **Subdivision 4** is used for the management of records relating to **termination of studies**.
- **Subdivision 5** is used for the management of records relating to **student requests**. These records may originate at the faculties and follow paths through faculty boards, but all student requests and resulting decisions must form part of the official student file.
- **Subdivision 6** is used for the management of records relating to **academic records and certificate of conduct**. Due to the fact that not all academic records are captured on the VSS-system, archive student might need to be compiled from student files predating the existence of VSS (1979). The D5 disposal instruction for student files does not apply to student files of which the academic records are not on VSS. These older student files may also be digitised and the paper copies may then be destroyed. For digitising these records, please contact the Senior Records Officer.
- **Subdivision 7** is used for the management of records relating to **class tests and assignments**. Class tests and assignments form part of the formative assessment of students and therefore the tests and assignments are handed back to the students after marking and marks capturing. In order to ensure proper recordkeeping, a class list should be printed and students should sign for the receipt of the tests and assignments (collection register – 7.1.7.3_. Disposal is indicated for the tests and assignments not collected and the collection register. Test and assignment papers and memoranda, etc. are part of main series 8 dealing with assessment and moderation. This series only deals with the administration of tests and assignments. **No test or assignment may be placed in an open space (e.g. hallway/in front of offices)** to be collected as it contains personal information.
- **Subdivision 8** is used for the management of records relating to **participation mark statements**.

- **Subdivision 9** is used for the management of records relating to **examination administration** (including appointment of examiners, invigilators, venues, security and results). The record owner is the examination office (SALA). Examinations papers and memoranda are part of main series 8 dealing with the assessment and moderation.
- **Subdivision 10** is used for the management of records relating to **results administration**.
- **Subdivision 11** is used for the management of records relating to **administration of postgraduate studies**. All records in this series forms part of the official student file.
- **Subdivision 12** is used for the management of records relating to **graduation**. The main records owner are the officers responsible for organising the graduation ceremonies.
- **Subseries 2** is used for the management of all records relating to **student administrative systems management (VSS)**. The main record owner is the operating system specialist in the Student administrative systems department. These records include manuals for the use of VSS, VSS system development, maintenance and training. Academic calendar administration is recorded in this subseries and referenced 7.2.5.
- **Subseries 3** is used for the management of all records relating to **student affairs**:

This series consist of 8 subdivisions

- **Subdivision 1** is used for the management of all records relating to **student management** usually performed by the office of the Director: Student Life. The records relating to the governance function of the SRC are filed as part of main series 1 (1.3). this subdivision includes records about SRC training and academic student societies.
- **Subdivision 2** is used for the management of records relating to **student training** in general. The records for the induction programme for first year students are also managed in this series.
- **Subdivision 3** is used for the management of records relating to **student counselling and development**. The main record owner is the Manager/Director of student counselling/Snr counsellor and services on the various campuses.
- **Subdivision 4** is used for the management of records relating to **student wellness**.
- **Subdivision 5** is used for the management of records relating to **sports management**.
- **Subdivision 6** is used for the management of records relating to **culture management**.
- **Subdivision 7** is used for the management of records relating to **NWU graduate career management**.
- **Subdivision 8** is used for the management of records relating to **student discipline records**.

| Number | Policies and institutional rules |
|--------|---|
| 7P | <p>7P General academic rules</p> <p>7P_7.1 Admissions Policy</p> <p>7P_7.1.11.9 Rules for the classification of theses and dissertations</p> <p>7P_7.3.4 Policy on students with disabilities</p> <p>7P_7.3.4_E Institutional Rules on Student Vaccinations</p> <p>7P_7.8.3 Rules for student discipline</p> <p>Disposal of the Original: A after approval as part of Council records Office responsible for original: Policy owner Other offices' disposal: D after update or revision</p> |

| Number | Procedures, manuals, guidelines and strategies, rules |
|--------|---|
| 7Pr | <p>7Pr_7.1.1A Process manual for the undergraduate and honours administration: admission</p> <p>7Pr_7.1.1B Admission requirements</p> <p>7Pr_7.1.1HDA2 International applicants' brochure for masters and doctoral applicants</p> <p>7Pr_7.1.1HDA1 Brochure for masters and doctoral applicants</p> <p>7Pr_7.1.2HDA Brochure for masters and doctoral registrations</p> <p>7Pr_7.1.2 Process manual for undergraduate and honours administration: records</p> <p>7Pr_7.1.2a Registration schedule, guidelines and deadlines</p> <p>7Pr_7.1.2HDA1 Guidelines for first masters and doctoral registration</p> <p>7Pr_7.1.2HDA2 Guidelines for re-registration of masters and doctoral students</p> <p>7Pr_7.1.3.6 Manual for study centres</p> <p>7Pr_7.1.9a Process manual: Examination division</p> <p>7Pr_7.1.9b Examination instructions</p> <p>7Pr_7.1.9.4a Process manual for invigilating (on-campus)</p> <p>7Pr_7.1.9.12 Process manual for distance invigilators</p> <p>7Pr_7.1.9.7 Procedure for marks and examination results</p> <p>7Pr_7.1.10 Procedure for the administration of masters and doctorate study assessment</p> <p>7Pr_7.1.11 Protocol and procedures for doctoral degree ceremonies</p> <p>7Pr_7.3.8a Appeals procedure</p> <p>7Pr_7.3.8b Disciplinary procedures</p> <p>2.2.4_7.1.1HDA Standard Operating Procedure for Higher Degrees Administration and Admissions</p> <p>7Pr_7.3.1 Rules for the administering of a process to allow student leaders back on campuses of the NWU before the commencement of the annual registration period</p> <p>7Pr_7.3.4 Operational Framework for NWU Student Life</p> <p>7Pr_7.3.2.1 Operational procedures for communicating residence life related information to prospective first-year students</p> <p>Disposal of the Original: D5 after every update Office responsible for original: Manager in the specific division/process owner Other offices' disposal: D after update or revision</p> |

| Ref # | Description of record | Disposal of original | Office responsible for record | Other offices | Classification of information | Contains personal information? |
|----------------------|--|---|-------------------------------|--|-------------------------------|--------------------------------|
| 7.1 | <p>Student academic lifecycle administration <i>A student file is a case file referenced by number and NWU number, e.g. 7.1C_12345678.</i></p> <p><i>Records that must be placed in the student file will be indicated in the “disposal of original” column.</i></p> <p><i>The disposal attached to a student file is D5 after termination of studies due to graduation and/or any other instance. Please take note of the instruction in the user guidelines for subseries 1, subdivision 7.1.6.</i></p> <p><i>Results administration – Results in any other format than on an official system, will be destroyed after three (3) years after the year of assessment as per SALA Exco meeting dates May 2019. After this the official results on the system will be regarded as the original records.</i></p> | | | | | |
| 7.1.1 | Student admissions | | | | | |
| 7.1.1.1 | <u>Enquiries</u> 7.1.1.1.1 Brochure for HDA applications | D1 after finalization of enquiry 7.1.1.1.1 – A after a new version is approved for use | Admissions officers (SALA) | No records to be kept by other offices | 3 | Y |
| 7.1.1.2 7.1.1.2.1 | Application form Register of applications forms received | This record forms part of the official student file. Application that leads to no registration: D1 after application date Application that leads to registration: D5 after last year of registration 7.1.1.2.1 – D3 after receipt of application | Admissions officers (SALA) | No records to be kept by other offices | 3 | Y |
| 7.1.1.3 | <u>Proof of payment for application</u> | | | | | |
| 7.1.1.4 | Alternative/senate discretionary admissions | This record forms part of the official student file | Admissions officers (SALA) | No records to be kept by other offices | 3 | Y |

| Ref # | Description of record | Disposal of original | Office responsible for record | Other offices | Classification of information | Contains personal information? |
|----------|--|--|--|--|-------------------------------|--------------------------------|
| 7.1.1.5 | <u>Supporting documents</u> B1_1 ID document B1_7 Previous academic records B1_8 Previous certificates 7.1.1.5.5 RPL-request/declaration 7.1.1.5.6 SAQA certificate 9.1.4 Research proposal B1_9 Medical report for disability 7.1.1.5.9 Grade-R PR02 form 7.1.1.5.10 Grade-R letter from school 7.1.1.5.11 Upgrade masters to PhD 7.1.1.5.12 PR01 agreement with school 7.1.1.5.13 Supervisor acceptance form | This record forms part of the official student file | Admissions officers (SALA) | No records to be kept by other offices | 3 | Y |
| 7.1.1.6 | <u>International students</u> B1_9 Medical report B1_11 Visitors permit B1_12 Study permit B1_13 Residence permit B1_2 Passport 2.8.1.6 International sign-off form 2.8.1.7 Refugee 2.8.1.8 Asylum seeker B1_10 Proof of residential address 2.8.1.10 Proof of medical aid B1_15 Visa 2.8.1.12 Invitation letter 2.8.1.13 Correspondence | Records in this series 2.8.1 – D3 after termination of studies Other records form part of the official student file | Records in series 2.8.1 and series B NWU International Office Other: Sala | No records to be kept by other offices | 3 | N |
| 7.1.1.7 | <u>Admissions correspondence</u> 7.1.1.7.1 Admissions letter 7.1.1.7.2 Electronic admissions document for postgraduate students 7.1.1.7.3 Alternative/Senate discretionary admission 7.1.1.7.4 Special admission | This record forms part of the official student file | Admissions officers (SALA) | No records to be kept by other offices | 3 | Y |
| 7.1.1.8 | Admissions statistics | P on VSS Part of 2.2.2 | Admissions officers (SALA) | No records to be kept by other offices | 3 | N |
| 7.1.1.9 | Student application cards | P on VSS | Admissions officers (SALA) | No records to be kept by other offices | 3 | Y |
| 7.1.1.10 | Register of applications received | D1 after receipt of application | Admissions officers (SALA) | No records to be kept by other offices | 3 | Y |

| Ref # | Description of record | Disposal of original | Office responsible for record | Other offices | Classification of information | Contains personal information? |
|----------|--|--|--|--|-------------------------------|--------------------------------|
| 7.1.2 | <u>Student registration</u> | | | | | |
| 7.1.2.1 | 7.1.2.1.1 Registration forms 7.1.2.1.2 Web registration 7.1.2.1.3 Re-registration | This record forms part of the official student file | Official at SALA | No records to be kept by other offices | 3 | Y |
| 7.1.2.2 | Curriculum control forms | This record forms part of the official student file | Official at SALA | D1 | 3 | Y |
| 7.1.2.3 | Proof of registration | This record forms part of the official student file No paper copies to be filed | Official at SALA | No records to be kept by other offices | 3 | Y |
| 7.1.2.4 | <u>Correspondence regarding student registration</u> 7.1.2.4.1 E-mail 7.1.2.4.2 SMS 7.1.2.4.3 Official decision | 7.1.2.4.1 and 7.1.2.4.2 D1 after registration date 7.1.2.4.3 P on VSS | Official at SALA | No records to be kept by other offices | 3 | Y |
| 7.1.2.5 | <u>HESA Correspondence</u> 7.1.2.5.1 Official decision 7.1.2.5.2 Certificate (USAf) | 7.1.2.5.1 P on VSS 7.1.2.5.2 This record forms part of the student file | Official at SALA | No records to be kept by other offices | 3 | Y |
| 7.1.2.6 | This series is closed | | | | | |
| 7.1.2.7 | Reporting/Statistics | P on VSS | Official at SALA | No records to be kept by other offices | 3 | N |
| 7.1.2.8 | This series is closed | | | | | |
| 7.1.2.9 | Academic advice | This record forms part of the official student file | Official at SALA | No records to be kept by other offices | 3 | Y |
| 7.1.2.10 | Proof of payment | P on system | Official at SALA | No records to be kept by other offices | 3 | Y |
| 7.1.3 | <u>Class attendance administration</u> | | | | | |
| 7.1.3.1 | Class lists • | D3 | Lecturer responsible for the module | No records to be kept by other offices | 3 | Y |
| 7.1.3.2 | Attendance registers | D3 | Lecturer responsible for the module <i>This record forms part of the compulsory module file</i> | No records to be kept by other offices | 3 | Y |
| 7.1.3.3 | Class timetables | D1 | Operating specialist (SAS) | No records to be kept by other offices | 3 | N |
| 7.1.3.4 | Medical certificates | D1 | Lecturer responsible for the module | No records to be kept by other offices | 4 | Y |

| Ref # | Description of record | Disposal of original | Office responsible for record | Other offices | Classification of information | Contains personal information? |
|---------|--|---|--|--|-------------------------------|--------------------------------|
| 7.1.3.5 | <u>Tuition centres</u> <i>A case file per tuition centre is referenced by number and name of centre, e.g. 7.1.3.5C_Windhoek and contains the following:</i> 7.1.3.5.1 Duty list of centre coordinator 7.1.3.5.2 Duty list of centre facilitator 7.1.3.5.3 Control sheet of resource centres 7.1.3.5.4 Complaint form 7.1.3.5.5 Statistics 7.1.3.5.6 Correspondence 7.1.3.5.7 Evaluation 7.1.3.5.8 Manuals 7.1.3.5.9 Qualifications of centre facilitators 7.1.3.5.10 Attendance registers | D2 | Administrative officers in faculties/units | No records to be kept by other offices | 3 | Y |
| 7.1.3.6 | Administration of the practical component (Work integrated learning) | This record form part of the official student file | Official at SALA | No records to be kept by other offices | 3 | Y |
| 7.1.4 | <u>Termination of studies</u> | | | | | |
| 7.1.4.1 | <u>Academic progress</u> 7.1.4.1.1 Warning letters | This record form part of the official student file | Official at SALA | No records to be kept by other offices | 3 | Y |
| 7.1.4.2 | Cancellation by student | This record form part of the official student file | Official at SALA | No records to be kept by other offices | 3 | Y |
| 7.1.4.3 | <u>Disciplinary action</u> <i>The complete disciplinary case file is referenced 7.3.8C</i> | This record form part of the official student file | Official at SALA | No records to be kept by other offices | 3 | Y |
| 7.1.4.4 | Academic and module exclusion | This record form part of the official student file | Official at SALA | No records to be kept by other offices | 3 | Y |
| 7.1.4.5 | Termination of studies by the University | This record form part of the official student file | Official at SALA | No records to be kept by other offices | 3 | Y |
| 7.1.4.6 | <u>Phasing out of qualifications</u> 7.1.4.6.1 Phasing out letter to student | This record form part of the official student file | Official at SALA | No records to be kept by other offices | 3 | Y |
| 7.1.4.7 | <u>Student appeal against the termination of studies based on poor academic performance</u> | This record form part of the official student file | Official at SALA | No records to be kept by other offices | 3 | Y |
| 7.1.5 | <u>Student requests</u> 7.1.5.1 Formal on academic record 7.1.5.2 Informal in faculty 7.1.5.3 Address change form 7.1.5.4 Grievances 7.1.5.5 Application for credit recognition and transfer 7.1.5.6 Module changes form 7.1.5.7 Extension of period of studies | This record form part of the official student file | Official at SALA | No records to be kept by other offices | 3 | Y |

| | | | | | | |
|----------|---|---|--|--|---|---|
| | 7.1.5.8 Amendment of POPIA consent 7.1.5.9 Student request form 7.1.5.10 Qualification change form 7.1.5.11 Permission letter to register at more than one institution 7.1.5.12 Simultaneous registration for more than one qualification | | | | | |
| 7.1.6 | <u>Academic record and certificate of conduct</u> 7.1.6.1 Current 7.1.6.2 Archive student results 7.1.6.3 Standard letter – no respond of student 7.1.6.4 Standard letter – syllabus 7.1.6.5 Letter – explanation of credits 7.1.6.6 Documentation - syllabus 7.1.6.7 Request for certificate of conduct | 7.1.6.1 P on VSS 7.1.6.2 P in office of origin Other The record forms part of the official student file | Official at SALA | No records to be kept by other offices | 3 | Y |
| 7.1.7 | Class test/assignment administration | | | | | |
| 7.1.7.1 | Results lists | P on VSS <i>These records can also form part of the module file in series 8</i> | Admin manager/administrator in the faculty and admin officer SAS | No records to be kept by other offices | 3 | Y |
| 7.1.7.2 | Review of results correspondence | D3 | Lecturer/Admin manager/administrator of the faculty | No records to be kept by other offices | 3 | Y |
| 7.1.7.3 | Collection register | D3 | Lecturer/ Admin manager/administrator of the faculty | No records to be kept by other offices | 3 | Y |
| 7.1.7.4 | Timetable | D3 | Lecturer/Admin manager/administrator of the faculty | No records to be kept by other offices | 3 | Y |
| 7.1.7.5 | Check list | D3 | Lecturer/Admin manager/administrator of the faculty | No records to be kept by other offices | 3 | Y |
| 7.1.7.6 | Assignment mark sheet | D3 | Admin officer in the faculty | No records to be kept by other offices | 3 | Y |
| 7.1.7.8 | List of assignments returned | D3 | Admin officer in the faculty | No records to be kept by other offices | 3 | Y |
| 7.1.7.9 | Delivery notes/Assignment batches | D3 | Admin officer in the faculty | No records to be kept by other offices | 3 | Y |
| 7.1.7.10 | List of assignments marked | D3 | Admin officer in the faculty | No records to be kept by other offices | 3 | Y |
| 7.1.7.11 | Assignment cover page | D3 | Admin officer in the faculty | No records to be kept by other offices | 3 | Y |

| Ref # | Description of record | Disposal of original | Office responsible for record | Other offices | Classification of information | Contains personal information? |
|---------|---|---|-------------------------------|--|-------------------------------|--------------------------------|
| 7.1.8 | Participation mark statement | P on VSS <i>This record can form part of the module file in series 8</i> | Admin officer in the faculty | No records to be kept by other offices | 3 | Y |
| 7.1.9 | <u>Examination administration</u> | | | | | |
| 7.1.9.1 | Timetables | P on VSS <i>Timetables are replaced with every update</i> | Timetable official | D1 | 3 | N |
| 7.1.9.2 | <u>External undergraduate examiners and moderators</u> 7.1.9.2.1 Appointment <i>Payments are dealt with in 3.8.3.4</i> | D3 | SALA officials | No records to be kept by other offices | 3 | Y |
| 7.1.9.3 | <u>Examination papers administration</u> 7.1.9.3.1 Cover sheet 7.1.9.3.2 Mark sheet <i>Examination papers are part of main series 8 and referenced 8.1.7.2.2</i> | D1 | SALA officials | No records to be kept by other offices | 3 | Y |
| 7.1.9.4 | <u>Invigilators (on campus)</u> 7.1.9.4.1 List 7.1.9.4.2 Timetables 7.1.9.4.3 Letter of confirmation 7.1.9.4.4 Undertaking of invigilator 7.1.9.4.5 Undertaking of foreign invigilator 7.1.9.4.6 Application form for invigilators on campus 7.1.9.4.7 Attendance list of invigilators 7.1.9.4.8 Final invigilator report 7.1.9.4.9 Correspondence 7.1.9.4.10 Claim forms | D1 | SALA officials | No records to be kept by other offices | 3 | Y |
| 7.1.9.5 | <u>Security</u> 7.1.9.5.1 Attendance slips/register 7.1.9.5.2 Control form | 7.1.9.5.1 D3 after year of assessment in adherence to article 6.9 of the Teaching-Learning Policy 7.1.9.5.2 D1 | SALA officials | No records to be kept by other offices | 3 | Y |
| 7.1.9.6 | <u>Venues and examination centres</u> | D1 Updated annually | SALA officials | No records to be kept by other offices | 3 | Y |

| Ref # | Description of record | Disposal of original | Office responsible for record | Other offices | Classification of information | Contains personal information? |
|----------|---|----------------------|--|--|-------------------------------|--------------------------------|
| 7.1.9.7 | <u>Markers examination assistance</u> 7.1.9.7.1 Marker appointment 7.1.9.7.2 Marker qualification 7.1.9.7.3 Marker duty list 7.1.9.7.4 Marker termination | D1 | Examination division | No records to be kept by other offices | 3 | Y |
| 7.1.9.8 | Examination statistics | D1 P on VSS | Person responsible for statistics | No records to be kept by other offices | 3 | N |
| 7.1.9.9 | Marker statistics | D1 | Person responsible for statistics | No records to be kept by other offices | 3 | N |
| 7.1.9.10 | Examination irregularities | D3 | Admin manager/ administrator in the faculties | No records to be kept by other offices | 3 | Y |
| 7.1.9.11 | Student enquiries | D3 | Admin manager/ administrator in the faculties | No records to be kept by other offices | 3 | Y |
| 7.1.9.12 | <u>Invigilators (off-campus)</u> 7.1.9.12.1 Undertaking of exam coordinator 7.1.9.12.2 List of exam centres 7.1.9.12.3 Application form to write at exam centre 7.1.9.12.4 Evaluation report from exam centre 7.1.9.12.5 Undertaking of evaluator at exam centre 7.1.9.12.6 Correspondence 7.1.9.12.7 Biographical information of coordinator <i>Please refer to series B1</i> 7.1.9.12.8 Code of Conduct 7.1.9.12.9 Control form 7.1.9.12.10 CV of coordinator <i>Please refer to series B1</i> | D1 | Admin manager/ administrator in the faculties | No records to be kept by other offices | 3 | Y |
| 7.1.9.13 | <u>Correspondence to students</u> 7.1.9.13.1 Debit note to student 7.1.9.13.2 Exam prescriptions 7.1.9.13.3 Web-exam information | D3 | Admin manager/ administrator in the faculties | No records to be kept by other offices | 3 | Y |

| Ref # | Description of record | Disposal of original | Office responsible for record | Other offices | Classification of information | Contains personal information? |
|----------|---|---|-------------------------------|--|-------------------------------|--------------------------------|
| 7.1.10 | <u>Results administration</u> 7.1.10.1 Examination committee result statements 7.1.10.2 Mark amendment sheet 7.1.10.3 Finalised assessment results statements 7.1.10.4 Announcements via internet and SMS 7.1.10.5 Results letters to students 7.1.10.6 Results statistics | 7.1.10.1 D3 after closing date of amendments to marks 7.1.10.2 D3 after assessment 7.1.10.3 P on VSS 7.1.10.4 D1 7.1.10.5 P on VSS 7.1.10.6 D1 | SALA officials | No records to be kept by other offices | 3 | Y |
| 7.1.11 | <u>Administration of mini-dissertations, dissertations and theses</u> | | | | | |
| 7.1.11.1 | <u>Title registration</u> 7.1.11.1.1 Title registration/amendment 7.1.11.1.2 Title registration letter 7.1.11.1.3 Appointment of functionaries 7.1.11.1.4 Acceptance of functionaries 7.1.11.1.5 Changes 7.1.11.1.6 CV of examiner <i>Refer to series B1</i> 7.1.11.1.7 Correspondence | These records form part of the official student file | SALA officials | No records to be kept by other offices | 3 | Y |
| 7.1.11.2 | <u>Notice of submission</u> 7.1.11.2.1 Notice of submission form 7.1.11.2.2 Notice of submission letter 7.1.11.2.3 Checklist 7.1.11.2.4 Title page example 7.1.11.2.5 Correspondence | These records form part of the official student file | SALA officials | No records to be kept by other offices | 3 | Y |
| 7.1.11.3 | <u>Submission for examination administration</u> 7.1.11.3.1 Acknowledgement of receipt 7.1.11.3.2 Solemn declaration and permission to submit 7.1.11.3.3 Permission letter for submission 7.1.11.3.4 Personal particulars form 7.1.11.3.5 Similarities report 7.1.11.3.6 Letter to examiner 7.1.11.3.7 Examination guidelines 7.1.11.3.8 Recommendation form 7.1.11.3.9 Available for inspection correspondence 7.1.11.3.10 Title page | These records form part of the official student file 7.1.11.3.15 D3 after year of report | SALA officials | No records to be kept by other offices | 3 | Y |

| | | | | | | |
|-----------------|--|--|---|--|---|---|
| | 7.1.11.3.11 Acknowledgement of receipt 7.1.11.3.12 Examination copy from student 7.1.11.3.13 Language editing certificate 7.1.11.3.14 Proof of article submitted 7.1.11.3.15 Examiner report 7.1.11.3.16 Written report 7.1.11.3.17 Exam copy notes 7.1.11.3.18 Correspondence <u>Resubmission</u> 7.1.11.3.19 Amended examination copy 7.1.11.3.20 Rebuttal | | | | | |
| 7.1.11.4 | Marking | | | | | |
| 7.1.11.5 | Results after examination 7.1.11.5.3 Statement that corrections are made 7.1.11.5.4 Cover letter 7.1.11.5.5 Final result form 7.1.11.5.6 Letter of conditional pass 7.1.11.5.7 Amendment report 7.1.11.5.8 Results letter to student 7.1.11.5.9 Final copy title page 7.1.11.5.10 Correspondence 7.1.11.5.11 Checklist 7.1.11.5.12 Final marks | These records form part of the official student file 7.1.11.5.12 P on system | SALA officials | No records to be kept by other offices | 3 | Y |
| 7.1.11.6 | Results administration | | | | | |
| 7.1.11.7 | <u>Final copy administration</u> 7.1.11.7.1 Letter to examiners 7.1.11.7.2 Amendment form 7.1.11.7.3 Payment slip 7.1.11.7.4 Final version of mini dissertations/ dissertations/ thesis 7.1.11.7.5 Final title page | These records form part of the official student file | SALA officials | No records to be kept by other offices | 3 | Y |
| 7.1.11.8 | Preliminary proof of degree | | | | | |
| 7.1.11.9 | <u>Classification and declassification of mini dissertations/ dissertations/theses</u> 7.1.11.9.1 Application for classification 7.1.11.9.2 Motivation | D3 after declassification A as part of Higher Degree Committee minutes | SALA officials | No records to be kept by other offices | 3 | Y |
| 7.1.12.1 | Graduation | | | | | |
| 7.1.12.1 | Official date schedule <i>This information is included in the NWU almanac referenced 2.14</i> | D1 | Ceremonies department responsible for conducting ceremonies | No records to be kept by other officer | 2 | N |

| Ref # | Description of record | Disposal of original | Office responsible for record | Other offices | Classification of information | Contains personal information? |
|----------|---|---|---|--|-------------------------------|--------------------------------|
| 7.1.12.2 | <u>Ceremony arrangements</u> <i>Files are referenced 7.1.12.2_date of ceremony, e.g. 7.1.12.2_20150522</i> 7.1.12.1.1 Invitations (student, procession, guests and functionaries) | A after ceremony <i>Records such as programmes for the ceremony, attendance lists, photos, etc. have historical value</i> | Ceremonies department responsible for conducting ceremonies | No records to be kept by other offices | 3 | Y |
| 7.1.12.3 | Audited list of graduates | P on VSS | Ceremonies department responsible for conducting ceremonies | No records to be kept by other offices | 3 | Y |
| 7.1.12.4 | Programme/booklet | A in November (annually) | Ceremonies department responsible for conducting ceremonies | No records to be kept by other offices | 3 | Y |
| 7.1.12.5 | Video/DVD/Photos of ceremony | A as soon as finalised | Ceremonies department responsible for conducting ceremonies | No records to be kept by other offices | 3 | Y |
| 7.1.12.6 | <u>Certificates</u> 7.1.12.6.1 Register for stock issuing 7.1.12.6.2 Re-issue from 7.1.12.6.3 Stock reconciliation 7.1.12.6.4 Proof of receipt 7.1.12.6.5 Absentia register 7.1.12.6.6 Not collected 7.1.12.6.7 Contact list 7.1.12.6.8 Certificate 7.1.12.6.9 List of certificates issued to campus | 7.1.12.6.1 – 7.1.12.6.5 D3 7.1.12.6.6 Original – D3 Re-issue – D6 months 7.1.12.6.7 D3 7.1.12.6.8 P on VSS 7.1.12.6.8 D3 | Ceremonies department responsible for conducting ceremonies | No records to be kept by other offices | 3 | Y |
| 7.1.12.7 | Statistics | P on system | Ceremonies department responsible for conducting ceremonies | No records to be kept by other offices | 3 | N |
| 7.1.12.8 | <u>Embossing machine</u> | | | | | |
| 7.1.12.9 | Academic regalia 7.1.12.9.1 Inventory 7.1.12.9.2 Control register 7.1.12.9.3 Gowns, caps, hoods | 7.1.12.9.1 – 7.1.12.9.2 D3 7.1.12.9.3 A one of each example after receipt of new design | Ceremonies department responsible for conducting ceremonies | No records to be kept by other offices | 3 | N |
| 7.2 | <u>Student administrative systems management</u> | | | | | |
| 7.2.1 | <u>Manuals and procedures for use of the system</u> 7.2.1.1.1 Separate manuals are referenced by number and name of manual, e.g. 7.2.1.1_Student_records 7.2.1.1_Security_documentation | D1 after amendments have been affected | Operating Specialist (SAS) | D1 | 3 | N |

| Ref # | Description of record | Disposal of original | Office responsible for record | Other offices | Classification of information | Contains personal information? |
|---------|--|--|----------------------------------|--|-------------------------------|--------------------------------|
| 7.2.2 | <u>Training</u> 7.2.2.1 Date schedule 7.2.2.2 Attendance list | D3 | Operating Specialist (SAS) | No records to be kept by other offices | 3 | N |
| 7.2.3 | System development | D5 | Operating Specialist (SAS) | No records to be kept by other offices | 3 | N |
| 7.2.4 | System maintenance | D5 | Operating Specialist (SAS) | No records to be kept by other offices | 3 | N |
| 7.2.5 | <u>Calendar maintenance</u> 7.2.5.1 Correspondence 7.2.5.2 Process <u>Also refer to</u> 8.1.3 SCAS process documentation 8.1.3.6 Submission to DoHET 8.1.3.7 Submission to SAQA | A after finalisation | Manager: SAS | No records to be kept by other offices | 3 | N |
| 7.3 | <u>Student affairs management</u> | | | | | |
| 7.3.1 | <u>Student management</u> <i>The records relating to the governance function of the SRC are filed as part of series 1</i> | | | | | |
| 7.3.1.1 | <u>Training for SRC</u> 7.3.1.1.1 Attendance register 7.3.1.1.2 Workshop material 7.3.1.1.3 Evaluation forms | D3 | Executive Director: Student Life | No records to be kept by other offices | 3 | Y |
| 7.3.1.2 | General trends and needs analysis on student affairs | D3 | Executive Director: Student Life | No records to be kept by other offices | 3 | N |
| 7.3.1.3 | <u>Academic student societies</u> <i>A case file per society is opened and referenced by number and name of society, e.g. 7.3.1.3C_Excursio and contains the following:</i> <ul style="list-style-type: none"> • Photos of management team • Agendas • Minutes • Actions undertaken • Assistance to disadvantaged students • Complaints | A on 30 June (annual) before transfer of management to a new management team | Chairperson of the society | No records to be kept by other offices | 3 | Y |

| Ref # | Description of record | Disposal of original | Office responsible for record | Other offices | Classification of information | Contains personal information? |
|---------|---|--|--|--|-------------------------------|--------------------------------|
| 7.3.1.4 | <u>Golden Key International Honour Society</u> <i>Case file referenced by number and year, e.g. 7.3.1.4C_GoldenKey_2019 and contains the following:</i> <ul style="list-style-type: none"> • Photos of management team • Agendas • Minutes • Actions undertaken • Assistance to disadvantaged students • Complaints | A on 30 June (annual) before transfer of management to a new management team | Chairperson of the Golden Key society | No records to be kept by other offices | 3 | Y |
| 7.3.1.5 | SRC portfolio management <i>Referenced by number, campus and name of portfolio</i> | A on 30 June (annual) before transfer of management to a new management team | Chairperson of the SRC portfolio | No records to be kept by other offices | 3 | Y |
| 7.3.1.6 | Internal faculty student actions <i>A case file is opened and referenced for each student action and referenced by number and authority abbreviation, e.g. 7.3.1.6C_FEMS</i> | A on 30 June (annual) | Student coordinators in the faculties | No records to be kept by other offices | 3 | Y |
| 7.3.1.7 | <u>SCC Management</u> 7.3.1.7.1 SCC Elections applications form 7.3.1.7.2 Confirmation of candidate nominations received for election as members of a SCC 7.3.1.7.3 Objection: Nomination of candidate for election as a member of a SCC 7.3.1.7.4 SCC Candidates list 7.3.1.7.5 SCC Preliminary results 7.3.1.7.6 SCC Final results 7.3.1.7.7 SCC Ratification of final results | A on 30 June (annual) | Student Life | No records to be kept by other offices | 4 | Y |
| 7.3.1.8 | <u>House Committees Management</u> 7.3.1.8.1 Rules on the election of House Committee of residence | A as soon as finalised | Executive Director: Student Life | No records to be kept by other offices | 1 | N |
| 7.3.2.1 | <u>Introduction programme for first years</u> 7.3.2.1.1 Arrangements 7.3.2.1.2 Programmes | 7.3.2.1.1 D1 7.3.2.1.2 A as soon as finalised | Senior Counsellor in the Guidance and Counselling Centre | No records to be kept by other offices | 3 | Y |

| Ref # | Description of record | Disposal of original | Office responsible for record | Other offices | Classification of information | Contains personal information? |
|---------|---|----------------------|---|--|-------------------------------|--------------------------------|
| 7.3.3 | Student Counselling and development | | | | | |
| 7.3.3.1 | <p><u>Counselling service</u></p> <p>7.3.3.1.1 Career counselling and planning</p> <p>7.3.3.1.2 Special admissions examination</p> <p>7.3.3.1.3 Psychotherapy and counselling</p> <p>7.3.3.1.4 Coaching and Mentoring</p> <p>7.3.3.1.5 Study difficulties(CTL)</p> <p>7.3.3.1.6 Special needs</p> <p>7.3.3.1.7 Selection tests for specific professional Qualifications</p> <p>A case file is opened for each student and referenced by number and the type of counselling and student name, e.g. 7.3.3.1.5_Smith_P and contains the following:</p> <ul style="list-style-type: none"> • Referral letter • Psychometric tests • Process notes • Protocols • Profile sheets • Letters/Feedback to concerned stakeholders • Booking forms • Information and consent forms • Anti-suicide declaration • Student intake form • Practitioner clinical observation form • Referral forms • Feedback report <p>The files in this series are strictly confidential</p> | D4 | Manager: Student Counselling | No records to be kept by other offices | 5 | Y |
| 7.3.3.2 | <p><u>Projects and Workshops</u></p> <p>A case file is opened for each workshop and referenced by number and name of workshop, e.g. 7.3.3.2C_Communication and contains the following:</p> <ul style="list-style-type: none"> • Attendance registers • Project/Workshop material • Arrangement documentation • Evaluation forms • Project/Workshop report | D4 | Snr Counsellor: Guidance and Counselling centre | No records to be kept by other offices | 3 | Y |
| 7.3.3.3 | <p><u>Psychometric Assessment</u></p> <p><u>7.3.3.3.1 Student Assessment</u></p> | | | | | |

| Ref # | Description of record | Disposal of original | Office responsible for record | Other offices | Classification of information | Contains personal information? |
|---------|---|--|--|--|-------------------------------|--------------------------------|
| 7.3.3.4 | <u>Social Support Service</u> <u>7.3.3.4.1 Programs</u> | | | | | |
| 7.3.3.5 | Inventory | | | | | |
| 7.3.4 | Student Wellness | | | | | |
| 7.3.4.1 | <u>Social services</u> <i>A case file is opened for each student and referenced by number, NWU number and year, e.g. 7.3.4.1C_12345678_2015</i> | D2 | Social Worker at the Health Care Centre | No records to be kept by other offices | 4 | Y |
| 7.3.4.2 | <u>Projects</u> <i>A case file is opened for each project and referenced by number and name, e.g. 7.3.4.2C_ArriveAlive</i> 7.3.4.2.1 Female and male empowerment 7.3.4.2.1 Substance abuse support 7.3.4.2.2 LGBTIA and Gender-based violence | After finalisation of the project, the NWU Archivist must be consulted to advise if the records have archival value, if not D3 | Social worker at the Health Care Centre | No records to be kept by other offices | 3 | N |
| 7.3.4.3 | Statistics and diagnostics index | D5 | Social worker at the Health Care Centre | D1 | 3 | N |
| 7.3.4.4 | Inventory | D3 | No records to be kept by other offices(Every portfolio keeps its own inventory) | D1 | 3 | N |
| 7.3.4.5 | Register of control | | | | | |
| 7.3.4.6 | Student disabilities 7.3.4.6 Disability Rights Units 7.3.4.6.1 Assessment and concessions | D3 | Person dealing with student disabilities | D1 | 3 | N |
| 7.3.4.7 | Campaigns | | | | | |

| Ref # | Description of record | Disposal of original | Office responsible for record | Other offices | Classification of information | Contains personal information? |
|---------|--|------------------------------|--|--|-------------------------------|--------------------------------|
| 7.3.5 | Sport management | | | | | |
| 7.3.5.1 | <u>Sporting codes management</u> <i>A case file is opened for each sporting code and referenced by number, campus and sport code, e.g. 7.3.5.1C_M_Soccer</i> This case file will contain the following: <ul style="list-style-type: none"> • Sport code constitution (7.3.5.1) • Budget (4.9) • Minutes of meetings of management team and exco (2.2.2) • Management election documentation (2.2.2) • Results of matches/competitions (7.3.5.1.2) • League fixtures (7.3.5.1.3) • Information of players (7.5.1.3.4_name of player) • Transformation management (2.7) • Marketing and recruitment of sports code (6.1.4) • Clinics, symposiums, courses (10.3.3) • Photos | A1 after end of sport season | Sport officers/sort code managers | No records to be kept by other offices | 3 | Y |
| 7.3.5.2 | <u>Special sporting events</u> <i>A case file is opened for each special sporting event and referenced by number, campus and sport even, e.g. 7.3.5.2C_M_SASSU</i> | A1 after end of sport season | Sport officers/sort code managers | No records to be kept by other offices | 3 | Y |
| 7.3.5.3 | <u>Residence sports management</u> <i>A case file is opened for each residence sporting code and referenced by number, campus, residence name and sport code, e.g. 7.3.5.3C_P_Veritas_Hockey</i> This case file will contain: <ul style="list-style-type: none"> • Budget (4.9) • Minutes of meetings of management team and exco (2.2.2) • Management election documentation (2.2.2) • Results of matches/competitions (7.3.5.3.1) • League fixtures (7.3.5.3.2) • Marketing and recruitment of sports code (6.1.4) • Photos | A1 after end of sport season | Sport portfolio on the Residence Committee | No records to be kept by other offices | 3 | Y |
| | For the sport prestige function refer to 2.16_campus_name of function and year, e.g. 2.16_V_Prestige_sport_function_2017 | | | | | |
| | For sport bursaries refer to 4.10.5 | | | | | |

| Ref # | Description of record | Disposal of original | Office responsible for record | Other offices | Classification of information | Contains personal information? |
|---------|--|--|---|--|-------------------------------|--------------------------------|
| 7.3.6 | Culture management | | | | | |
| 7.3.6.1 | <u>Culture group/society management</u> <i>A case file is open for each culture group/society and referenced by number, campus and culture group/society, e.g. 7.3.6.1C_V_toatsmasters</i> A case file will contain: <ul style="list-style-type: none"> • Culture group/society constitution (7.3.6.1.1) • Budget (4.9) • Minutes of meetings of management team and exco (2.2.2) • Management election documentation (2.2.2) • Results of competitions (7.3.6.1.2) • Information of members (7.3.6.1.3_name of member) • Transformation management (2.7) • Marketing and recruitment of culture group/society (6.1.4) • Photos, programmes and posters | A annually before the election of new management committee | Student coordinators/ Chairperson- of the culture group society | No records to be kept by other offices | 3 | Y |
| 7.3.6.2 | <u>Special culture events/project</u> <i>A case file is opened for each special event/project and referenced by number, campus and culture event/project, e.g. 7.3.6.2C_P_TalentFestival</i> | A1 after end of the event | Culture officer/Culture manager | No records to be kept by other offices | 3 | Y |
| | For culture bursaries refer to 4.10 | | | | | |
| | For records of ARTEMA refer to 8.2 | | | | | |
| 7.3.7 | NWU graduate career management | | | | | |
| 7.3.7.1 | <u>Employer presentation</u> <i>A case file is opened and referenced by number, campus and year, e.g. 7.3.7.1C_M_2009</i> This case file will contain: <ul style="list-style-type: none"> 7.1.7.1.1 Attendance register 7.1.7.1.2 Registration form 7.1.7.1.3 Arrangements of documentation 7.1.7.1.4 Evaluation forms 7.1.7.1.5 Report 4.1.4.1 Invoices | D5 | Manager: Career Centre | No records to be kept by other offices | 3 | Y |

| Ref # | Description of record | Disposal of original | Office responsible for record | Other offices | Classification of information | Contains personal information? |
|---------|--|----------------------|-------------------------------|--|-------------------------------|--------------------------------|
| 7.3.7.2 | <u>Career Fairs</u> <i>A case file is opened and referenced by number, campus and year, e.g. 7.3.7.2_P_2015</i> This case file will contain: 7.3.7.2.1 Attendance register 7.3.7.2.2 Registration form 7.3.7.2.3 Arrangement of documentation 4.1.4.1 Invoices | D5 | Manager: Career Centre | No records to be kept by other offices | 3 | Y |
| 7.3.7.3 | <u>Career Zone</u> | | | | | |
| 7.3.7.4 | <u>Employer choice</u> | | | | | |
| 7.3.7.5 | <u>Career guide</u> <i>A case file is opened and referenced by number, campus and year, e.g. 7.3.7.5C_V_2012</i> | D3 | Manager: Career Centre | D1 | 3 | Y |
| 7.3.7.6 | <u>Work Readiness Seminar</u> <i>A case file is opened for each workshop and referenced by number and name of workshop, e.g. 7.3.7.6C_P_2015</i> This case file will contain: 7.3.7.6.1 Attendance register 7.3.7.6.2 Workshop material 7.3.7.6.3 Arrangement of documentation 7.3.7.6.4 Evaluation forms 7.3.7.6.5 Report | D3 | Manager: Career Centre | D1 | 3 | Y |
| 7.3.8 | <u>Student discipline administration</u> <i>The records in this series are strictly confidential</i> | | | | | |
| 7.3.8.1 | Black book for examination irregularities | D5 | Manager: Examinations | No records to be kept by other offices | 4 | Y |
| 7.3.8.2 | <u>Student disciplinary hearings</u> <i>Each hearing is dealt with as a case file and referenced by number, date of hearing, surname and initials of the accused, e.g. 7.3.8.2C_20010912_Smith_EP</i> 7.3.8.2.1 Investigation dossier (Protection Services/CHASE/residence tribunal/faculty outcome) 7.3.8.2.2 Notice of hearing 7.3.8.2.3 Notification register 7.3.8.2.4 Plea document 7.3.8.2.5 Statements/Evidence 7.3.8.2.6 Letter of decision 7.3.8.2.7 Hearing record 7.3.8.2.8 Appeal | D5 | Student Judicial Services | No records to be kept by other offices | 4 | Y |

| | | | | | | |
|---------|--|-----------------------|---------------------------|--|---|---|
| | 7.3.8.2.9 Result of hearing 7.3.8.2.10 Correspondence 7.3.8.2.11 Recordings of hearings | | | | | |
| 7.3.8.3 | Disciplinary register | P in office of origin | Student Judicial Services | No records to be kept by other offices | 4 | Y |
| 7.3.8.4 | <u>Alternative dispute resolution</u> (Residence tribunals/Faculty outcomes) Each resolution is dealt with as a case file and referenced by number, date of hearing, surname and initials of the accused, e.g. 7.3.8.4C_20010912_Smith_EP) 7.3.8.4.1 Investigation dossier/CHASE/residence tribunal/faculty outcome) 7.3.8.4.2 Notice of hearing 7.3.8.4.3 Notification register 7.3.8.4.4 Plea document 7.3.8.4.5 Statements/Evidence 7.3.8.4.6 Letter of decision 7.3.8.4.7 Hearing record 7.3.8.4.8 Appeal 7.3.8.4.9 Results of appeal 7.3.8.4.10 Correspondence 7.3.8.4.11 Recordings of hearings | D5 | Student Judicial Services | No records to be kept by other offices | 4 | Y |
| 7.3.8.5 | Prevention programmes (plagiarism documents, prevention talks, timetable letters with academic integrity warning) | D5 | Student Judicial Services | No records to be kept by other offices | 4 | Y |
| 7.3.8.6 | Hearing records (.mp3 recording — usually grouped by day) | D5 | Student Judicial Services | No records to be kept by other offices | 4 | Y |

8. Teaching-Learning

User Guidelines

This main series is used for the management of records relating to teaching-learning activities and responsible owners may vary from Centre for Teaching and Learning (CTL) to individual lecturers.

Module files are kept in this series. The HEQC audit made it compulsory for every lecturer responsible for a module presented to keep files of the modules they are responsible for. A module file is referenced 8C_module code, e.g. 8B_LBLL221. Please refer to the note on module files below. In the file plan for this series, every record that should form part of the module file is indicated in bold.

Short course files are kept in this series. It is compulsory for every short course owner responsible for a short course on the list/database of approved short courses to keep short course files of the short courses they are responsible for. A short course case file is referenced 8.2C_short course code, e.g. 8.2C_abc26465. Please refer to the note on short course- files below. In the file plan for this series, every record that should form part of the short course file is also indicated in bold.

- **Subseries 1** is used for the management of all records relating to **programme management** and records relating to programme approval, alignment, presentation and assessment and moderation should be managed in this series. Lecturers of modules must keep case files (known as module files) for each approved module they present (for instructions on module files, please refer to 8C below). All records in this series are kept in adherence with the Teaching, Learning and assessment Policy (8P).
- **Subseries 2** is used for the management of records relating to **short courses**. The short course manager and any provider of a SCAS approved short course will make use of this series. All records in this series are kept in adherence to the Policy on continuing education (8P_8.2). Please see the note on short course case files above.
- **Subseries 3** is used for the management of records relating to **academic staff development** in particular the Teaching Excellence Awards and the Induction Programme for Academics. General staff development matters such as personal development plans and application for training finds are dealt with in series 3 – Human Resources.
- **Subseries 4** is used for the management of records relating to **academic student development** (for academic administration of students and student affairs management, refer to main series 7). Records providing evidence of academic support to students (in particular supplemental instruction and the compulsory modules AGLE, RINL and reading development) is managed here by the relevant departments providing the support.
- **Subseries 5** is used for the management of records relating to **undergraduate student throughput**.

| Number | Policies |
|--------|---|
| 8P | <p>8P Teaching, Learning and Assessment Policy</p> <p>8P_8.2 Policy on continuing Education</p> <p>8P_8.7 Open Educational Resources Policy</p> <p>Disposal of the Original: A after approval as part of Council records Office responsible for original: Policy owner Other offices' disposal: D after update or revision</p> |

| Number | Procedures, manuals, guidelines and strategies |
|--------|--|
| 8Pr | <p>8Pr Teaching-Learning Framework</p> <p>8Pr_8.1 Academic Programme Alignment Manual</p> <p>8Pr_8.1.6.1 Manual for Study Guide Development</p> <p>8Pr_8.1.6.5 Manual for e-learning implementation</p> <p>8Pr_8.2 Short Course Management at the NWU</p> <p>8Pr_8.3 Academic staff development programme</p> <p>8Pr_8.3.1 Manual and policy for ITEA</p> <p>8Pr_8.4.1 Supplemental instruction at the NWU</p> <p>Disposal of the Original: D5 after every update Office responsible for original: Manager in the specific division/process owner Other offices' disposal: D after update or revision</p> |

| Ref # | Description of record | Disposal of original | Office responsible for record | Other offices | Classification of information | Contains personal information? |
|-------|---|--|--|--|-------------------------------|--------------------------------|
| 8C | <p>Module File</p> <p><i>A case file referenced by number and module code, e.g. 8C_LLBL211 containing the undermentioned records:</i></p> <ul style="list-style-type: none"> • Study guide (8.1.6.1) • Assessment planning (8.1.7.1.1/8.1.7.2.1) • Class test/assignment/examination papers (8.1.7.1.2/8.1.7.2.2) • Memoranda (8.1.7.1.4/8.1.7.2.3) • Examination/test/assignment answers (8.1.7.1.3/8.1.7.2.3) • Moderators' reports (8.1.7.1.5/8.1.7.2.5.1/8.1.7.2.5.5) • Student feedback/evaluation of the module (8.1.6.4) • Textbook (8.1.6.7) • | <p>D3 following the year of the assessment.</p> <p>When determined by any professional body, these records may be kept up to a maximum of five years.</p> <p>Regarding tests/assignment answers: These records should be handed back to the students. Answers not collected should be kept for three (3) years. It is recommended that a student must sign for the collection of these records and that the signed collection sheet is kept as part of the module file.</p> <p>NO TESTS/ASSIGNMENTS ANSWER SHEETS MAY BE PLACED IN A HALLWAY AND/OR OPEN SPACE FOR COLLECTION.</p> | Every lecturer of the NWU responsible for presenting a programme/module. | No records to be kept by other offices | 3 | Y |

| Ref # | Description of record | Disposal of original | Office responsible for record | Other offices | Classification of information | Contains personal information? |
|---------|--|---------------------------------|---|--|-------------------------------|--------------------------------|
| 8.1 | <u>Programme management</u> | | | | | |
| 8.1.1 | Programme and Qualification mix | A after every update | Director: Quality and Academic Programme Planning | D after every update | 3 | N |
| 8.1.2 | <u>Development and design</u> | | | | | |
| 8.1.2.1 | Research | D5 after completion of research | School director and programme leader/lecturer | No records to be kept by other offices | 3 | N |
| 8.1.2.2 | Programme document and/or other documentation | D2 after submission to SCAS | School director and programme leader/lecturer | No records to be kept by other offices | 3 | N |
| 8.1.3 | <u>Approval</u> | | | | | |
| 8.1.3.1 | SCAS Schedule | A as part of SCAS records (1.3) | Corporate Information and Governance Services | D1 | 3 | N |
| 8.1.3.2 | <u>Applications and amendments to Academic qualifications</u> 8.1.3.2.1 Form 0: To register a new qualification or programme or an application for additions or amendments to academic qualifications and programmes to be approved by the Department of Higher Education and Training 8.1.3.2.2 Form 1: Situation Analysis (application for a new qualification/new mode of provision) 8.1.3.2.3 Form 2: Application for changes to an existing academic qualification 8.1.3.2.4 Form 3: Combined external application form for DHET, HEQC (CHE) and SAQA 8.1.3.2.5 Form 4: Yearbook changes (applications that require internal approval only) 8.1.3.2.6 Form 5: Applications for approval of CE Offerings | A as part of SCAS records (1.3) | Corporate Information and Governance Services | D1 | 3 | N |
| 8.1.3.6 | Correspondence with national/statutory bodies | A1 | Registrar | No records to be kept by other offices | 3 | N |
| 8.1.3.7 | <u>Submission to SAQA</u> 8.1.3.7.1 Approvals received from SAQA | A1 | Registrar | No records to be kept by other offices | 3 | N |
| 8.1.3.8 | Submission to DoHET | A1 | Registrar | No records to be kept by other offices | 3 | N |

| Ref # | Description of record | Disposal of original | Office responsible for record | Other offices | Classification of information | Contains personal information? |
|---------|---|---|--|--|-------------------------------|--------------------------------|
| 8.1.4 | <u>Alignment</u> | | | | | |
| 8.1.4.1 | White paper | A after completion of alignment process | Director: Academic Support and Development | No records to be kept by other offices | 3 | N |
| 8.1.4.2 | Schedule | A as part of SCAS records | Director: Academic Support and Development | No records to be kept by other offices | D1 | N |
| 8.1.4.3 | SCAS form 5: information regarding programme alignment issues | A as part of SCAS records | Director: Academic Support and Development | No records to be kept by other offices | D1 | N |
| 8.1.4.4 | Progress report and register on alignment | A as part of SCAS records | Director: Academic Support and Development | No records to be kept by other offices | 3 | N |
| 8.1.5 | <u>Review (for programme review and evaluation matters, please refer to Quality Management 2.3)</u> | | | | | |
| 8.1.6 | <u>Presentation/delivery</u> | | | | | |
| 8.1.6.1 | Study guides <i>Individual study guides are referenced by number and module code, e.g. 8.1.6.1_LLBL211</i> | P on system This record forms part of the module file | Manager: Teaching-Learning Technology | D1 | 1 | N |
| 8.1.6.2 | Supportive audio and digital study material <i>Study material are referenced by number and module code, e.g. 8.1.6.2_LLBL221</i> | P on multimedia repository This record forms part of the module file | Lecturer responsible for the module Manager: Teaching-Learning Technology | D1 | 1 | N |
| 8.1.6.3 | Production schedules/frameworks for study guides | Electronic study material production programme P on programme | Manager: Teaching-Learning Technology | D1 | 3 | N |
| 8.1.6.4 | Student feedback <i>Referenced by number and module code, e.g. 8.1.6.4_LLBL211</i> | D3 following year of assessment This record forms part of the module file | Lecturer responsible for the module | No records to be kept by other offices | 3 | N |
| 8.1.6.5 | Electronic teaching-learning technologies and platforms | D5 | Manager: Teaching-Learning Technology | No records to be kept by other offices | 3 | N |
| 8.1.6.6 | Lecturer responsibilities | D3 | Lecturer responsible for the module | No records to be kept by other offices | 3 | N |
| 8.1.6.7 | Textbook lists | D3 | Lecturer responsible for the module | No records to be kept by other offices | 3 | N |
| 8.1.6.8 | Blended learning | D3 | Lecturer responsible for the module | No records to be kept by other offices | 3 | N |

| Ref # | Description of record | Disposal of original | Office responsible for record | Other offices | Classification of information | Contains personal information? |
|-----------|--|---|-------------------------------------|--|-------------------------------|--------------------------------|
| 8.1.7 | Assessment and Moderation | | | | | |
| 8.1.7.1 | Formative | | | | | |
| 8.1.7.1.1 | Assessment planning <i>Assessment planning are referenced by number and module code, e.g. 8.1.7.1.1_LLBL211</i> | D3 following year of assessment This record forms part of the module file | Lecturer responsible for the module | No records to be kept by other offices | 3 | N |
| 8.1.7.1.2 | Test/assignment papers <i>Test/assignment papers are referenced by number and module code, e.g. 8.1.7.1.2_LLBL211</i> | D3 following year of assessment This record forms part of the module file | Lecturer responsible for the module | No records to be kept by other offices | 3 | N |
| 8.1.7.1.3 | Test/assignment answers <i>Test/assignment answers not collected by students are placed in a file according to student numbers and referenced by number and module code, e.g. 8.1.7.1.3_LLBL211</i> | D3 following year of assessment This record forms part of the module file | Lecturer responsible for the module | No records to be kept by other offices | 3 | Y |
| 8.1.7.1.4 | Memoranda <i>Referenced by number and module code, e.g. 8.1.7.1.4_LLBL211</i> | D3 following year of assessment This record forms part of the module file | Lecturer responsible for the module | No records to be kept by other offices | 3 | N |
| 8.1.7.1.5 | Moderators' reports <i>Referenced by number and module code, e.g. 8.1.7.1.5_LLBL211</i> | D3 following year of assessment This record forms part of the module file | Lecturer responsible for the module | No records to be kept by other offices | 3 | N |
| 8.1.7.1.6 | Faculty specific guidelines for written work | D3 following year of assessment | Faculty Officer | No records to be kept by other offices | 3 | Y |
| 8.1.7.2 | Summative | | | | | |
| 8.1.7.2.1 | Assessment planning <i>Referenced by number and module code, e.g. 8.1.7.2.1_LLBL211</i> | D3 following year of assessment This record forms part of the module file | Lecturer responsible for the module | No records to be kept by other offices | 3 | Y |
| 8.1.7.2.2 | Examination papers <i>Referenced by number and module code, e.g. 8.1.7.2.2_LLBL211</i> | D3 following year of assessment This record forms part of the module file | Lecturer responsible for the module | No records to be kept by other offices | 3 | N |
| 8.1.7.2.3 | Examinations answer sheets <i>Referenced by number and module code, e.g. 8.1.7.2.3_LLBL211</i> | D3 following year of assessment This record forms part of the module file | Lecturer responsible for the module | No records to be kept by other offices | 3 | Y |

| Ref # | Description of record | Disposal of original | Office responsible for record | Other offices | Classification of information | Contains personal information? |
|-------------|---|---|---|--|-------------------------------|--------------------------------|
| 8.1.7.2.4 | Memoranda <i>Referenced by number and module code, e.g. 8.1.7.2.4_LLBL211</i> | D3 following year of assessment This record forms part of the module file | Lecturer responsible for the module | No records to be kept by other offices | 3 | N |
| 8.1.7.2.5 | Moderators' reports | | | | | |
| 8.1.7.2.5.1 | Internal <i>Referenced by number and module code, e.g. 8.1.7.2.5.1_LLBL211</i> | D3 following year of assessment This record forms part of the module file | Lecturer responsible for the module | No records to be kept by other offices | 3 | Y |
| 8.1.7.2.5.2 | External <i>Referenced by number and module code, e.g. 8.1.7.2.5.2_LLBL211</i> | D3 following year of assessment This record forms part of the module file | Lecturer responsible for the module | No records to be kept by other offices | 3 | y |
| 8.1.7.2.36 | <u>Remarking process</u> 8.1.7.2.6.1 Request form 8.1.7.2.6.2 Result form | D3 following year of assessment This record forms part of the module file | Lecturer responsible for the module | No records to be kept by other offices | 3 | Y |
| 8.2 | <u>Short Course Management</u> Individual short courses are referenced by number followed by the short course code generated by the short course management module of VSS. A short course case file is opened for each short course presented by a short course owner and referenced 8.1C_short course code, e.g. 8.2C_ABC6578. A short course case file must contain the following records: <ul style="list-style-type: none"> • Application for presentation of short course (8.2.1.2) • Budget form (8.2.1.3) • Approval forms (8.2.1.4) • Administration records (8.2.2) • Presentation records (8.2.3) • Assessment and moderation records (8.2.4) • Financial records according to main series 4 • Quality assurance records according to main series 2.3 • Student records (8.2.7) • Legal records according to main series 2.4 • Management records according to main series 2.2.2 Disposal: D3 if short course is captured on VSS. D6 if short course is not captured on VSS. | | | | | |
| 8.2.1 | <u>Approvals</u> | | | | | |
| 8.2.1.1 | List/database | P on VSS | Short Course Manager: Academic Support and Development | No records to be kept by other offices | 3 | N |

| Ref # | Description of record | Disposal of original | Office responsible for record | Other offices | Classification of information | Contains personal information? |
|---------|---|--|--|--|-------------------------------|--------------------------------|
| 8.2.1.2 | SCAS Form 4: Application for the presentation of a short course | A as part of SCAS records | Admin Support: Academic Support and Development | No records to be kept by other offices | 3 | N |
| 8.2.1.3 | SCAS Form 4: Budget Form | A as part of SCAS records | Admin Support: Academic Support and Development | No records to be kept by other offices | 3 | N |
| 8.2.1.4 | SCAS Form 4: Approval forms | A as part of SCAS records | Admin Support: Academic Support and Development | No records to be kept by other offices | 3 | N |
| 8.2.2 | <u>Administration</u> 8.2.2.1 Brochure 8.2.2.2 Enrolments 8.2.2.3 Payments correspondence (for actual payments use main series 4) 8.2.2.4 Correspondence 8.2.2.5 Proposal 8.2.2.6 Study material register <i>Individual records are referenced by number and short course number, e.g. 8.2.2.2_ABC6578</i> | D3/D6 following year of assessment (see note at the top of this series regarding retention) These records form part of the short course file | Short course owner | No records to be kept by other offices | 3 | Y |
| 8.2.3 | <u>Presentation</u> 8.2.3.1 Programmes 8.2.3.2 Attendance lists/registers 8.2.3.3 Material 8.2.3.4 Learner feedback/evaluation 8.2.3.5 Textbook 8.2.3.6 Study guide 8.2.3.7 Other course material 8.2.3.8 Presenter request to present 8.2.3.9 Presenter CV (Confidential) 8.2.3.10 Presenter ID (Refer to biographical details in series B) <i>Individual records are referenced by number and short course code, e.g. 8.2.3.3_ABC6578</i> | D3/D6 following year of assessment (see note at the top of this series regarding retention) These records form part of the short course file | Short course owner | No records to be kept by other offices | 3 | Y |

| Ref # | Description of record | Disposal of original | Office responsible for record | Other offices | Classification of information | Contains personal information? |
|-------|--|--|---|--|-------------------------------|--------------------------------|
| 8.2.4 | <u>Assessment and moderation</u> 8.2.4.1 Assignment/tests 8.2.4.2 Moderators' reports 8.2.4.3 Results 8.2.4.4 Certificates 8.2.4.5 Exam papers 8.2.4.6 Exam answer sheets 8.2.4.7 Exam memoranda 8.2.4.8 Assignment/test answer sheets <i>Individual records are referenced by number and short course code, e.g. 8.2.4.4_ABC6578</i> | D3/D6 following year of assessment (see note at the top of this series regarding retention) These records form part of the short course file 8.2.4.5/8.2.4.6 – Kept on student file 8.2.7C (see series 8.2.7 below) | Short course owner | No records to be kept by other offices | 3 | Y |
| 8.2.5 | Short course administration system | P on VSS | Short course owner and SAS operating specialist | No records to be kept by other offices | 3 | N |
| 8.2.6 | Photos | A1 after year of presentation | Short course owner – Forward to NWU Archive one year after presentation | No records to be kept by other offices | 3 | Y |
| 8.2.7 | <u>Results administration</u> 8.2.7.1 Mark sheet per module 8.2.7.2 Presenter mark sheet 8.2.7.3 Mark sheet per event 8.2.7.4 Results letter | D3 | Administrators in the Unit for Continuous Education | No records to be kept by other offices | 3 | Y |
| 8.2.8 | <u>Student feedback</u> 8.2.8.1 Student course feedback evaluation form 8.2.8.2 Student course evaluation form 8.2.8.3 Presenter evaluation form 8.2.8.4 Presenter evaluation form | D3 | Administrators in the Unit for Continuous Education | No records to be kept by other offices | 3 | Y |
| | For evaluation of short courses refer to 2.3.5 | | | | | |
| 8.3 | <u>Academic staff development</u> | | | | | |
| 8.3.1 | <u>Institutional Teaching Excellence Award (ITEA)</u> <i>A case file is opened for every lecturer taking part in the awards and referenced by number, year, surname and initials of lecturer, e.g. 8.3.1_2021_Stavast_J</i> A case file must contain the records numbered 8.3.1.1 to 8.3.1.9 Disposal: D3 <u>NWU Teaching Awards</u> Faculty Teaching Awards Teaching with ICT's Awards Innovation in Teaching and Learning Award Online Teaching Award Novice Teacher Award University Teaching Excellence Award (UTEA) <i>A case file is opened for every award taking and referenced by number, year, name of the award, e.g. 8.3.1_2021_Faculty Teaching Awards</i> A case file must contain the records numbered 8.3.1.1 to 8.3.1.17 | | | | | |

| | | | | | | |
|----------|---|--|--|--|---|---|
| | Disposal: D3 | | | | | |
| 8.3.1.1 | Database 8.3.1.1.1 Applications forms 8.3.1.1.2 Participants 8.3.1.1.3 Annual Winners | A as part of Faculty TL Committee or the Faculty Board Records | Secretariat of the Faculty TL Committee or the Faculty Board | D1 | 3 | Y |
| 8.3.1.2 | Evaluation Panel 8.3.1.2.1 Nominations 8.3.1.2.2 Code of Conduct | D5 after year of awards | ITEA coordinator | D1 | 1 | N |
| 8.3.1.3 | Portfolio of Evidence 8.3.1.3.1 Submissions | P on eFundi Paper records: D3 | Lecturer enrolled for ITEA | No records to be kept by other offices | 1 | N |
| 8.3.1.4 | Rubric(s) for Portfolio of Evidence Each rubric will be referenced with the name of the award E.g. 8.3.1.4_Faculty Teaching Award | D3 after year of awards | ITEA coordinator | No records to be kept by other offices | 3 | Y |
| 8.3.1.5 | Student evaluation form | D3 after year of awards | ITEA coordinator | No records to be kept by other offices | 3 | Y |
| 8.3.1.6 | Assessment of contact session | D3 after year of awards | ITEA coordinator | No records to be kept by other offices | 3 | Y |
| 8.3.1.7 | ITEA panel members documentation | D3 after year of awards | ITEA coordinator | No records to be kept by other offices | 3 | Y |
| 8.3.1.8 | ITEA results | D3 after year of awards | Director: Academic Support and Development | No records to be kept by other offices | 3 | Y |
| 8.3.1.9 | ITEA appeals | D3 after year of awards | Director: Academic Support and Development | No records to be kept by other offices | 3 | Y |
| 8.3.1.10 | Database of annual winners | A | Director: Academic Support and Development | No records to be kept by other offices | 3 | Y |
| 8.3.1.11 | ITEA prestige function administration | A | Director: Academic Support and Development | No records to be kept by other offices | 3 | N |
| 8.3.1.12 | Financial arrangement concerning awards (claim form and congratulations letter) | D3 | Administrative officer in the faculty/department | No records to be kept by other offices | 3 | Y |
| 8.3.1.13 | Score cards for contact opportunity | D3 | Administrative officer in the Faculty/department | No records to be kept by other offices | 3 | Y |
| 8.3.1.14 | Workshop — evaluation form | D3 | Administrative officer in the Faculty/department | No records to be kept by other offices | 3 | N |
| 8.3.1.15 | Training and Information sessions 8.3.1.15.1 Attendance Registers 8.3.1.15.2 Presentations 8.3.1.15.3 Recordings | | | | | |

| Ref # | Description of record | Disposal of original | Office responsible for record | Other offices | Classification of information | Contains personal information? |
|----------|--|---|--|--|-------------------------------|--------------------------------|
| 8.3.1.16 | NWU Teaching Awards Documentation 8.3.1.16.1 Infographic 8.3.1.16.2 Faculty Teaching award Guideline and Timelines 8.3.1.16.3 Procedure and Guideline document 8.3.1.16.4 Agenda 8.3.1.16.5 Minutes 8.3.1.16.6 Reports 8.3.1.16.7 Roles and responsibilities: Award(s) coordinators 8.3.1.16.8 Roles and responsibilities: Point of reference in FTA | | | | | |
| 8.3.1.17 | NWU Teaching Award Results 8.3.1.6.1 Withdrawals 8.3.1.6.2 Awarded 8.3.1.6.3 No Award 8.3.1.6.4 Appeals | | | | | |
| 8.3.2 | Institutional Course for new lecturers (ICNL) | | | | | |
| 8.3.2.1 | Information to new staff | D1 | Director: Academic Support and Development | No records to be kept by other offices | 3 | N |
| 8.3.2.2 | Option form | D3 after completion of the course by a new lecturer | Director: Academic Support and Development | No records to be kept by other offices | 3 | N |
| 8.3.2.3 | Registration forms | D3 after completion of the course by a new lecturer | Director: Academic Support and Development | No records to be kept by other offices | 3 | N |
| 8.3.2.4 | Phase 1 8.3.2.4.1 Attendance list 8.3.2.4.2 Programme 8.3.2.4.3 Training material 8.3.2.4.4 Evaluation reports 8.3.2.4.5 Certification | D3 after completion of the course by a new lecturer | Director: Academic Support and Development | No records to be kept by other offices | 3 | Y |

| Ref # | Description of record | Disposal of original | Office responsible for record | Other offices | Classification of information | Contains personal information? |
|---------|--|--|---|--|-------------------------------|--------------------------------|
| 8.3.2.5 | <u>Phase 2</u> 8.3.2.5.1 Attendance list 8.3.2.5.2 Programme 8.3.2.5.3 Training material 8.3.2.5.4 Evaluation reports 8.3.2.5.5 Certification | D3 after completion of the course by a new lecturer | Director: Academic Support and Development | No records to be kept by other offices | 3 | Y |
| 8.3.2.6 | <u>Phase 3</u> 8.3.2.6.1 Attendance list 8.3.2.6.2 Programme 8.3.2.6.3 Training material 8.3.2.6.4 Evaluation reports 8.3.2.6.5 Certification | D3 after completion of the course by a new lecturer | Director: Academic Support and Development | No records to be kept by other offices | 3 | N |
| 8.3.2.7 | Attendance report | A as part of the Extended Management Committee records | Director: Academic Support and Development | No records to be kept by other offices | 3 | Y |
| 8.3.2.8 | Database of attendees | P on database | Director: Academic Support and Development | No records to be kept by other offices | 3 | Y |
| 8.3.3 | <u>Training and information sessions</u> 8.3.3.1 Attendance list 8.3.3.2 Programme 8.3.3.3 Training material 8.3.3.4 Evaluation reports 8.3.3.5 Certification | D3 after completion of the course by a new lecturer | Director: Academic Support and Development | No records to be kept by other offices | 3 | Y |
| | <u>Scholarship of Teaching and Learning (SoTL)</u> A case file is opened for every project undertaken by an academic or professional staff and referenced by number, year, surname and initials of lecturer, e.g. 8.3.4_2023_Stavast_J A project leader is responsible for completing the funded SoTL project and they are referred to as a grant holder if their project is funded from the University Capacity Development Grant (UCDG). A case file must contain the records numbered 8.3.5.1 to 8.3.5.11 Disposal: D7 | | | | | |
| 8.3.4 | <u>Scholarship of Teaching and Learning</u> 8.3.4.1 Registration form 8.3.4.2 Programme 8.3.4.3 Abstracts 8.3.4.4 Gala dinner arrangements 8.3.4.5 Proposal application form 8.3.4.6 Initial budget 8.3.4.7 Reviewer report 8.3.4.8 Award letter | D3-D7 | Director: Academic Support and Development Senior Academic Developer: Centre for Teaching and Learning | No records to be kept by other offices Records to be kept by academic Grants Administration | 3 | Y |

| | | | | | | |
|---------|---|---|---|--|---|---|
| | 8.3.4.9 Acceptance of funds document 8.3.4.10 Progress reports 8.3.4.11 Consultation records SoTL Meetings Agenda [2.2.2.0.3_SoTL] Minutes [2.2.2.4.4_SoTL] | A1 after 1 year | | | | |
| 8.3.5 | Induction programme for Academic Staff Members <i>A case file is opened within a Faculty list, for every lecturer taking part in the programme and referenced by number, year, surname and name of lecturer and campus, e.g. 8.3.5C_2020_Smith_John_M/P/V</i> This case file may contain all the records relating to the relevant induction programme. Disposal: D5 | | | | | |
| 8.3.5.1 | Information to new academic staff members | D1 | Manager: CTL | D1 | 3 | Y |
| 8.3.5.2 | Database of attendees | P on database | Coordinator: CTL | No records to be kept by other offices | 3 | Y |
| 8.3.5.3 | Agenda | A after induction programme | Administrative coordinator | No records to be kept by other offices | 3 | N |
| 8.3.5.4 | Minutes | A after induction programme | Administrative coordinator | No records to be kept by other offices | 3 | Y |
| 8.3.5.5 | Reporting | D5 | Induction coordinator | No records to be kept by other offices | 3 | N |
| 8.3.5.6 | <u>Campus Programme</u> 8.3.5.6.1 Attendance register 8.3.5.6.2 Programme 8.3.5.6.3 Lesson observation reports 8.3.5.6.4 Lesson observation video 8.3.5.6.5 Portfolio report 8.3.5.6.6 Certificate | D after completion of programme | 8.3.5.6.1 – Relevant faculty 8.3.5.6.3 – Induction coordinator 8.3.5.6.6 – Administrative coordinator | D1 | 3 | Y |
| 8.3.5.7 | Series closed | | | | | |
| 8.3.5.8 | <u>Induction programme for part-time lecturers</u> 8.3.5.8.1 Attendance register 8.3.5.8.2 Database of attendees 8.3.5.8.3 Programme 8.3.5.8.4 Certificate | D3 after completion of programme 8.3.5.8.2 – P on database 8.3.5.8.4 – D5 | 8.3.5.8.1 – Administrative coordinator 8.3.5.8.2 – Technical coordinator: CTL 8.3.5.8.3 – Induction coordinator 8.3.5.8.4 – Administrative coordinator | D1 | 3 | Y |

| Ref # | Description of record | Disposal of original | Office responsible for record | Other offices | Classification of information | Contains personal information? |
|--------------|---|--|---|--|-------------------------------|--------------------------------|
| 8.3.6 | NWU Annual Teaching and Learning Conference <i>A case file is opened for every event undertaken by the Centre for Teaching and Learning (CTL) and referenced by number, year, surname and initials of lecturer, e.g. 8.3.5_2023_Stavast_J</i> A case file must contain the records numbered 8.3.6.1 to 8.3.6. Disposal: D5 | | | | | |
| | <u>NWU T&L Conference</u> <u>NWU T&L Conference</u> <u>8.3.6.1 Minutes of planning meetings</u> <u>8.3.6.2 Contracts [2.4.1 Cross-reference]</u> <u>8.3.6.3 Marketing material</u> <u>8.3.6.4 Programme / Book of abstracts</u> <u>8.3.6.5 Reviewer abstracts reports</u> <u>8.3.6.6 Registration and attendance records</u> <u>8.3.6.7 Feedback</u> <u>8.3.6.8 Press release</u> <u>8.3.6.9 Report</u> | 8.3.6.1; 8.3.6.4 & 8.3.6.8 Archive after 1 year. D5 | Director: Special Project and Research / Senior Academic Developer (Conference coordinator) | No other records to be kept by other offices | 3 | Y |
| 8.4 | <u>Student academic development</u> | | | | | |
| 8.4.1 | <u>Supplemental instruction (SI)</u> | | | | | |
| 8.4.1.1 | Letter of referral to campus ADS units | Copy to be placed on student file | Administrative manager/Faculty officer in the Faculty | No records to be kept in other offices | 3 | Y |
| 8.4.1.2 | SI progress report | Copy to be placed on student file | Administrative manager/Faculty officer in the Faculty | No records to be kept in other offices | 3 | Y |
| 8.4.1.3 | Warning letters to students | Copy to be placed on student file | Administrative manager/Faculty officer in the Faculty | No records to be kept in other offices | 4 | Y |
| 8.4.1.4 | Evaluation of SI facilitators performance | D3 | Director: Centre for Teaching and Learning | No records to be kept in other offices | 3 | Y |
| 8.4.1.5 | Training documents for SI facilitators | D3 | Director: Centre for Teaching and Learning | No records to be kept in other offices | 3 | Y |
| 8.4.1.6 | At risk modules | D3 | SI facilitator manager | No records to be kept in other offices | 3 | N |
| 8.4.1.7 | Reports and statistics | D3 | Director: Centre for Teaching and Learning | No records to be kept in other offices | 3 | N |
| 8.4.2 | Referrals for student support | D3 | Director: Centre for Teaching and Learning | No records to be kept in other offices | 3 | Y |
| 8.4.3 | Support for RPL candidates | D3 | Director: Centre for Teaching and Learning | No records to be kept in other offices | 3 | Y |

| Ref # | Description of record | Disposal of original | Office responsible for record | Other offices | Classification of information | Contains personal information? |
|-------|--|--|--|--|-------------------------------|--------------------------------|
| 8.4.4 | Development included in learning programmes 8.4.4.1 AGLE 8.4.4.2 RINL 8.4.4.3 Reading development 8.4.4.4 Test for academic literacy (TAL) | D3 | Managers of specific modules | No records to be kept in other offices | 3 | Y |
| 8.4.5 | Academic mentors programme | D3 | Director: Centre for Teaching and Learning | No records to be kept in other offices | 3 | Y |
| 8.4.6 | Workshops | D3 | Director: Centre for Teaching and Learning | No records to be kept in other offices | 3 | Y |
| 8.4.7 | Holiday schools 8.4.7.1 Attendance register | D3 | Faculty officer | No records to be kept in other offices | 3 | Y |
| 8.5 | Undergraduate student throughput | | | | | |
| 8.5.1 | Specific targets <i>Targets in faculties/schools are referenced by number, and abbreviation in the authority list, e.g. 8.5.1_SN</i> | D5 | DVC: Teaching and Learning | D1 | 3 | N |
| 8.5.2 | Strategies/initiatives/interventions development | D3 after strategy/initiative/intervention has been conceptualized and put into policy or procedure | Director: Centre for Teaching and Learning | D1 | 3 | N |
| 8.5.3 | Pass norms <i>Referenced by number and abbreviation in the authority list, e.g. 8.5.3_SN</i> | D5 | Executive Dean of the Faculty | D1 | 3 | N |
| 8.5.4 | Throughput rates <i>Referenced by number and abbreviation in the authority list, e.g. 8.5.4_SN</i> | D5 | DVC: Teaching and Learning | D1 | 3 | N |
| 8.6 | Teaching-learning projects <i>A case file is opened and referenced by number and name of the projects, e.g. 8.6C_Verstaande_Wêreld</i> | D5 after completion of the project | Director: Centre for Teaching and Learning | D1 | 3 | N |
| 8.7 | Open Educational Resources | | | | | |

9. Research and Postgraduate Education

User Guidelines

This main series is used for the management of records relating to research support activities and postgraduate education with a research component.

- **Subseries 1** is used for the management of all records relating to the **implementation of the research strategy** and will contain records regarding research entities (i.e. entity applications, entity strategic plans, evaluation), monitoring and reporting of research activities, research ethics and research output management and the electronic research management system. All records in this series are kept in adherence with the Research and Innovation Policy (9P), the Institutional Strategy for Research and Innovation (9Pr) and the Rules of the Research Ethics Committee (9P_9.1.5).
- **Subseries 2** is used for the management of records relating to **research funding administration**, and records regarding internal and external funding applications, awarding and monitoring is managed in this series. Due to the number of external funding entities, one number is allocated to external funding entities, and case files opened for each entity. The main record owner is the Research Support office, but all researchers applying for funding may keep copies of research funding applications for one (1) year after application.
- **Subseries 3** is used for the management of records relating to **research capacity development** and include records on research workshops, as well as special awards. General staff development matters such as personal development plans for training funds from the Skills development fund are managed in main series 3 – Human Resources.
- **Subseries 4** is used for the management of records relating to **postgraduate studies management** with a research component. This main series is used mainly by the faculties for approval, monitoring and assessments of postgraduate studies undertaken in faculties. The academic administration of postgraduate students is managed in main series 7 as part of the student lifecycle administration management.

| Number | Policies |
|--------|---|
| 9P | <p>9P Research and Innovation Policy</p> <p>9P_9.1.5 Research Ethics Policy</p> <p>9P_9.1.5_AnimCare Policy on the Animal Care and Use Programme</p> <p>9P_9.1.7 Research Infrastructure Policy</p> <p>9P_9.2.1.6 Rules for the Institutional Research Excellence Awards (IREA)</p> <p>9P_9.4.8_S2A3 Rules for the awarding of S₂A₃ model</p> <p>9P_9.4.8_VCmedal Rules for award of the Vice-Chancellor's medals for Master's students</p> <p>9P_9.4 Higher Degrees Policy of the NWU</p> <p>Disposal of the Original: A after approval as part of Council records</p> <p>Office responsible for original: Corporate Information and Governance Services</p> <p>Other offices' disposal: A after update or revision</p> |

| Number | Procedures, manuals, guidelines and strategies | |
|--------|--|--|
| 9Pr | 9Pr Institutional strategy for research and innovation 9Pr_9.1.1 Criteria and development trajectory of research entities 9Pr_9.1.4 Institutional research equipment strategy 9Pr_9.2.1.1 Post-doctoral guidelines regarding post-doctoral fellowships 9Pr_9.4A Manual for postgraduate studies 9Pr_9.4B Management process for postgraduate administration | |
| | Disposal of the Original: D5 after every update Office responsible for original: Manager in the specific division/process owner Other offices' disposal: D after update or revision | |

| Ref # | Description of record | Disposal of original | Office responsible for record | Other offices | Classification of information | Contains personal information? |
|-----------|---|--|---|---------------|-------------------------------|--------------------------------|
| 9.1 | <u>Implementation of the research strategy</u> | | | | | |
| 9.1.1 | <u>Facilitation of research entity model</u> | | | | | |
| 9.1.1.1 | Indication of intent | A as part of Research Support Commission records (1.3) | Director: Research Support | D1 | 3 | N |
| 9.1.1.2 | Evaluation | A as part of Research Support Commission records (1.3) | Director: Research Support | D1 | 3 | N |
| 9.1.1.3 | Full proposal development | A as part of Research Support Commission records (1.3) | Director: Research Support | D1 | 3 | N |
| 9.1.1.4 | Evaluation of full proposal | A as part of Research Support Commission records (1.3) | Director: Research Support | D1 | 3 | N |
| 9.1.1.5 | Strategic plans | A as soon as finalised | Director: Research entity Director: Research Support | D1 | 3 | N |
| 9.1.2 | <u>Monitoring and reporting of research</u> | | | | | |
| 9.1.2.1 | Annual research report | A as soon a finalised | Research support officer | D1 | 3 | N |
| 9.1.2.2 | Annual reports of research entities | A as soon a finalised | Director: Research entity | D1 | 3 | N |
| 9.1.2.3 | <u>InfoEd – Research Management System</u> <i>The implementation and management of InfoEd is dealt with as a case file and will include records from various subjects in the File plan. Due to the scale of the implementation process and related procedures, all records are filed together with unique reference numbers indicating InfoEd linkage for ease of reference.</i> | | | | | |
| 9.1.2.3.1 | <u>Project management</u> <ul style="list-style-type: none"> Project plan Project manager's meetings | A as soon a finalised | Research support officer | D1 | 3 | N |

| Ref # | Description of record | Disposal of original | Office responsible for record | Other offices | Classification of information | Contains personal information? |
|-----------|--|------------------------|-------------------------------|---------------|-------------------------------|--------------------------------|
| 9.1.2.3.2 | <u>Committees</u> 9.1.2.3.2.1 <u>Executive steering committee</u> 9.1.2.3.2.1.1 Agenda and minutes 9.1.2.3.2.1.2 Progress reports 9.1.2.3.2.2 <u>HICC</u> 9.1.2.3.2.2.1 Agenda and minutes 9.1.2.3.2.2.2 Progress reports 9.1.2.3.2.3 <u>HEAIDS</u> 9.1.2.3.2.3.1 Agenda and minutes 9.1.2.3.2.3.2 Progress reports | A as soon as finalised | Research support officer | D1 | 3 | N |
| 9.1.2.3.3 | <u>Modules</u> 9.1.2.3.3.1 <u>Ethics</u> 9.1.2.3.3.1.1 Agenda and minutes 9.1.2.3.3.1.2 Workshops 9.1.2.3.3.1.3 Pilot documents 9.1.2.3.3.1.4 Training documents 9.1.2.3.3.1.5 Implementation documents 9.1.2.3.3.1.6 Manuals 9.1.2.3.3.2 <u>Grants and contracts</u> 9.1.2.3.3.2.1 <u>Proposal development</u> 9.1.2.3.3.2.1.1 Agendas and minutes 9.1.2.3.3.2.1.2 Workshops 9.1.2.3.3.2.1.3 Pilot documents 9.1.2.3.3.2.1.4 Training documents 9.1.2.3.3.2.1.5 Implementation documents 9.1.2.3.3.2.1.6 Manuals 9.1.2.3.3.2.2 <u>Proposal tracking</u> 9.1.2.3.3.2.2.1 Agenda and minutes 9.1.2.3.3.2.2.2 Workshops 9.1.2.3.3.2.2.3 Pilot documents 9.1.2.3.3.2.2.4 Training documents 9.1.2.3.3.2.2.5 Implementation documents 9.1.2.3.3.2.2.6 Manuals 9.1.2.3.3.3 <u>Research outputs</u> | | | | | |

| | | | | | | |
|-----------|---|--|----------------------------|--|---|---|
| | 9.1.2.3.3.3.1 Agenda and minutes 9.1.2.3.3.3.2 Workshops 9.1.2.3.3.3.3 Pilot documents 9.1.2.3.3.3.4 Training documents 9.1.2.3.3.3.5 Implementation documents 9.1.2.3.3.3.6 Manuals 9.1.2.3.3.4 <u>Tech transfer</u> 9.1.2.3.3.4.1 Agenda and minutes 9.1.2.3.3.4.2 Workshops 9.1.2.3.3.4.3 Pilot documents 9.1.2.3.3.4.4 Training documents 9.1.2.3.3.4.5 Implementation documents 9.1.2.3.3.4.6 Manuals 9.1.2.3.3.5 <u>FEC</u> 9.1.2.3.3.5.1 Agenda and minutes 9.1.2.3.3.5.2 Workshops 9.1.2.3.3.5.3 Pilot documents 9.1.2.3.3.5.4 Training documents 9.1.2.3.3.5.5 Implementation documents 9.1.2.3.3.5.6 Manuals | | | | | |
| 9.1.2.3.4 | <u>Technical information</u> 9.1.2.3.4.1 Cookbook 9.1.2.3.4.2 ESA 9.1.2.3.4.3 Web services 9.1.2.3.4.4 IT meetings | A as soon as finalised | Research support officer | D1 | 3 | N |
| 9.1.2.3.5 | <u>NWU implementation</u> 9.1.2.3.5.1 Workshop schedules 9.1.2.3.5.2 MIS 9.1.2.3.5.3 CV Data 9.1.2.3.5.4 <u>Legal</u> 9.1.2.3.5.4.1 NDA | A as soon as finalised | Research support officer | D1 | 3 | N |
| 9.1.2.4 | Surveys | D5 | Director: Research Support | No records to be kept by other offices | 3 | Y |
| 9.1.2.5 | Benchmarking and tendency analysis | D5 | Director: Research Support | No records to be kept by other offices | 3 | Y |
| 9.1.3 | <u>Evaluation of research entities</u> | | | | | |
| 9.1.3.1 | <u>Internal</u> Refer to Research Support Commission (1.3) | A as part of the Research Support Commission | Director: Research Support | D1 | 3 | N |

| Ref # | Description of record | Disposal of original | Office responsible for record | Other offices | Classification of information | Contains personal information? |
|---------|--|---|--|--|-------------------------------|--------------------------------|
| 9.1.3.2 | <u>External</u> 9.1.3.2.1 Panel 9.1.3.2.2 Correspondence with external evaluators 9.1.3.2.3 Documentation 9.1.3.2.4 Programs 9.1.3.2.5 Report | A | Director: Research Support | D1 | 3 | Y |
| 9.1.4 | <u>Virtual equipment store</u> 9.1.4.1 System administration <i>For funding refer to 9.2.1.2</i> | D3 | Director: Research Support | No records to be kept by other offices | 3 | N |
| 9.1.5 | <u>Ethics</u> | | | | | |
| 9.1.5.1 | <u>Applications for protocols</u> 9.1.5.1.1 Application form/Notice of no ethics clearance 9.1.5.1.2 Supporting documents 9.1.5.1.3 Code of Conduct for researchers 9.1.5.1.4 Ethics checklist | A as part of the records of the Research Ethics Committee (1.3) | Person responsible for the research ethics/to manage these records | D1 after completion of research | 5 | Y |
| 9.1.5.2 | <u>Assessments</u> 9.1.5.2.1 Reviewer reports | A as part of the records of the Research Ethics Committee (1.3) | Person responsible for the research ethics/to manage these records | D1 after completion of research | 4 | Y |
| 9.1.5.3 | <u>Letters before approval/revision/rejection</u> 9.1.5.3.1 Reviewer feedback letter 9.1.5.3.2 Chairperson feedback 9.1.5.3.3 Feedback letter 9.1.5.3.4 Last requirement request | A as part of the records of the Research Ethics Committee (1.3) | Person responsible for the research ethics/to manage these records | D1 after completion of research | 3 | Y |
| 9.1.5.4 | <u>Approval</u> 9.1.5.4.1 Approval notification 9.1.5.4.2 Ethics approval letter of study 9.1.5.4.3 Research Ethics Committee letter of decision: No risk | A as part of the records of the Research Ethics Committee (1.3) | Person responsible for the research ethics/to manage these records | D1 after completion of research | 3 | Y |

| Ref # | Description of record | Disposal of original | Office responsible for record | Other offices | Classification of information | Contains personal information? |
|---------|--|---|--|---------------------------------|-------------------------------|--------------------------------|
| 9.1.5.5 | <u>Research monitoring reports</u> 9.1.5.5.1 Monitoring reports 9.1.5.5.2 Reviewer feedback 9.1.5.5.3 Clarification 9.1.5.5.4 Continuation of research letter 9.1.5.5.5 Amendment of research letter 9.1.5.5.6 Completion of research letter 9.1.5.5.7 Suspension of research letter 9.1.5.5.8 Termination of research letter 9.1.5.5.9 Final feedback letter 9.1.5.5.10 Annual report 9.1.5.5.11 Adverse/Serious adverse event/incident Report 9.1.5.5.12 Amendments to report of serious event/incident 9.1.5.5.13 Adverse/Serious adverse event/incident report feedback | A as part of the records of the Research Ethics Committee (1.3) | Person responsible for the research ethics/to manage these records | D1 after completion of research | 3 | Y |
| 9.1.5.6 | <u>Forms</u> 9.1.5.6.1 Recommendation to the Scientific Committee for a study not requiring ethics approval | A as part of the records of the Research Ethics Committee (1.3) | Person responsible for the research ethics/to manage these records | D1 after completion of research | 3 | Y |
| 9.1.5.7 | <u>Training</u> 9.1.5.7.1 Advertisement 9.1.5.7.2 Registration form 9.1.5.7.3 Registration list 9.1.5.7.4 Confirmation of registration 9.1.5.7.5 Attendance register 9.1.5.7.6 Letter of attendance 9.1.5.7.7 Cancellation of registration 9.1.5.7.8 Slides/guidelines 9.1.5.7.9 Evaluation form/summary 9.1.5.7.10 Correspondence | P in office of origin | Person responsible for the research ethics/to manage these records | D1 after completion of research | 3 | Y |
| 9.1.5.8 | <u>Site inspections</u> 9.1.5.8.1 Site inspection notification letter 9.1.5.8.2 Reviewer report forms 9.1.5.8.3 Feedback of findings letter 9.1.5.8.4 Conclusion of site visit | P in office of origin | Person responsible for the research ethics/to manage these records | D1 after completion of research | 3 | Y |

| Ref # | Description of record | Disposal of original | Office responsible for record | Other offices | Classification of information | Contains personal information? |
|---------|---|----------------------|-------------------------------|---------------|-------------------------------|--------------------------------|
| 9.1.6 | <u>Output management</u> | | | | | |
| 9.1.6.1 | <u>Publication subsidy claim</u> 9.1.6.1.1 Articles 9.1.6.1.2 Supporting documents for books 9.1.6.1.3 Supporting documents for conference Proceedings 9.1.6.1.4 NWU panel meeting 9.1.6.1.5 PFR records 9.1.6.1.6 DoHET forms 9.1.6.1.7 Subsidy claim 9.1.6.1.8 DoHET feedback reports | DAU5 | Research support officer | D1 | 3 | Y |
| 9.1.7 | Research infrastructure | D3 | Research support officer | D1 | 3 | N |
| 9.2 | <u>Research funding administration</u> | | | | | |
| 9.2.1 | <u>Internal</u> | | | | | |
| 9.2.1.1 | <u>Post-doctoral fellowship programmes</u> 9.2.1.1.1 Applications 9.2.1.1.2 Evaluation 9.2.1.1.3 Monitoring/reporting 9.2.1.1.4 Award letter 9.2.1.1.5 Extension letter | DAU5 | Research support officer | D1 | 3 | Y |
| 9.2.1.2 | <u>Expensive research equipment</u> 9.2.1.2.1 Application 9.2.1.2.2 Letter to researcher 9.2.1.2.3 Lifecycle planning | DAU5 | Research support officer | D1 | 3 | Y |
| 9.2.1.3 | <u>Institutional contributions for research agency</u> 9.2.1.3.1 Monitoring/reporting | DAU5 | Research support officer | D1 | 3 | Y |
| 9.2.1.4 | <u>Seed funding for research entities</u> 9.2.1.4.1 Application 9.2.1.4.2 Evaluation 9.2.1.4.3 Monitoring/reporting | DAU5 | Research support officer | D1 | 3 | Y |
| 9.2.1.5 | <u>Capacity development funding</u> 9.2.1.5.1 Application 9.2.1.5.2 Evaluation 9.2.1.5.3 Monitoring/reporting 9.2.1.5.4 Award letter | DAU5 | Research support officer | D1 | 3 | Y |
| 9.2.1.6 | <u>IREA claims</u> 9.2.1.6.1 Award letter 9.2.1.6.2 List of authors 9.2.1.6.3 IREA calculations 9.2.1.6.4 Notification letters | DAU5 | Research support officer | D1 | 3 | Y |

| | 9.2.1.6.5 Claims for ad hoc part of IREA | | | | | |
|---------|---|------------------------|--|---------------|-------------------------------|--------------------------------|
| Ref # | Description of record | Disposal of original | Office responsible for record | Other offices | Classification of information | Contains personal information? |
| 9.2.2 | <u>External</u> | | | | | |
| 9.2.2.1 | <u>Funding entities</u> <i>A case file is opened for each funding entity and referenced by number and name of the entity, e.g. 9.2.2.1C_AgriculturalResearchCounci. A list of funding entities is available from the InfoEd system</i> | DAU5 | Snr Financial accountant | D1 | 3 | Y |
| 9.2.2.2 | <u>Research chairs</u> 9.2.2.2.1 Application 9.2.2.2.2 Evaluation 9.2.2.2.3 Monitoring/reporting | DAU5 | Snr Financial accountant | D1 | 3 | Y |
| 9.3 | <u>Research capacity development</u> | | | | | |
| 9.3.1 | <u>Internal research workshops</u> 9.3.1.1 Timetable 9.3.1.2 Material 9.3.1.3 Reports 9.3.1.4 Attendance registers <i>Referenced by number and name of the workshop, e.g. 9.3.1.2_Research_applications</i> | D5 | Snr administrative officer in the office of the Director: Research support | D1 | 3 | N |
| 9.3.2 | <u>Most productive researcher of the year award</u> 9.3.2.1 Application 9.3.2.2 Evaluation 9.3.2.3 Result letters 9.3.2.4 Award ceremony administration | A as soon as finalised | Director: Research support | D1 | 3 | Y |
| 9.3.3 | <u>Awards/Medals</u> 9.3.3.1 Nominations 9.3.3.2 Screen committee 9.3.3.3 Winner notification 9.3.3.4 Certificates | A as soon as finalised | Snr administrative officer in the office of the Director: Research support | D1 | 3 | Y |
| 9.3.4 | <u>NRF rating of researchers</u> 9.3.4.1 Notification 9.3.4.2 Application 9.3.4.3 Submission of application 9.3.4.4 Validation/acceptance | A as soon as finalised | Research support officer | D1 | 3 | Y |
| 9.3.5 | <u>Funding for conference/congress attendance</u> 9.3.5.1 Application 9.3.5.2 Report 9.3.5.3 Budget for visit | D5 | Research support officer | D1 | 3 | Y |

| Ref # | Description of record | Disposal of original | Office responsible for record | Other offices | Classification of information | Contains personal information? |
|-------|--|---|---|--|-------------------------------|--------------------------------|
| 9.4 | <u>Postgraduate studies management</u> <i>For administration matters of postgraduate studies lease refer to 7.1.11</i> | | | | | |
| 9.4.1 | Research proposal <i>Individual research proposals are referenced by number and NWU number, e.g. 9.4.1_12345678</i> | A as part of Faculty Board records | Secretariat of the Faculty Board | D1 | 3 | N |
| 9.4.2 | Progress report on studies <i>Referenced by number and NWU number, e.g. 9.4.2_12345678</i> | D1 after completion of postgraduate studies This record forms part of the official student file (7.1C) | Executive Dean of the Faculty/Research Directors | D1 | 3 | Y |
| 9.4.3 | <u>Postgraduate throughput management</u> 9.4.3.1 Targets 9.4.3.2 Strategies/interventions 9.4.3.3 Norms 9.4.3.4 Monitoring process 9.4.3.5 Report on throughput on Faculty Board <i>Referenced by number and authority abbreviation, e.g. 9.4.3.3_LAW</i> | 9.4.3.1 – 9.4.3.4 D5 9.4.3.5 A as part of the Faculty Board records | 9.4.3.1 – 9.4.3.4 Executive Dean of the Faculty 9.4.3.5 Secretariat of the Faculty Board | No records to be kept by other offices | 3 | N |
| 9.4.4 | <u>Assessment</u> 9.4.4.1 Faculty specific assessment guidelines 9.4.4.2 Guidelines for examiners reports 9.4.4.3 Internal examiners reports 9.4.4.4 External examiners reports 9.4.4.5 Summaries of examiners reports 9.4.4.6 Request for arbitration | 9.4.4.1 A as part of Faculty Board records 9.4.4.2 Faculty administrator 9.4.4.3/9.4.4.4/9.4.4.6 Forms part of the student file at SALA (7.1C) 9.4.4.5 A as part of the Faculty Board records and a copy to be placed in the student file at SALA (7.1C) | Secretariat of the Faculty Board SALA officials Faculty administrator | D1 | 3 | Y |
| 9.4.5 | <u>Quality assurance of research part of the structures M's</u> <i>Done as part of quality assurance of research entity, refer to 9.1.3</i> | Refer to 9.1.3 | Refer to 9.1.3 | Refer to 9.1.3 | Refer to 9.1.3 | Refer to 9.1.3 |
| 9.4.6 | <u>Appeals on assessment</u> 9.4.6.1 Letter of appeal 9.4.6.2 Letter of outcome | A as part of Faculty Board records | Secretariat of the Faculty Board | D1 | 3 | Y |
| 9.4.7 | Research workshops for students | D5 | Faculty administrator | D1 | 3 | N |

| Ref # | Description of record | Disposal of original | Office responsible for record | Other offices | Classification of information | Contains personal information? |
|-------|---|----------------------|-------------------------------|---------------|-------------------------------|--------------------------------|
| 9.4.8 | Awards | D5 | Faculty administrator | D1 | 3 | N |
| | <u>Quality assurance of Masters' and Doctoral degrees outside Research Entities</u> <i>Process to be finalised</i> | | | | | |
| 9.4.9 | <u>Research data</u> | | | | | |

10. Implementation of expertise

User Guidelines

This main series is used for the management of records relating to implementation of expertise as set out in the NWU framework for implementation of expertise.

- **Subseries 1** is used for the management of all records relating to **subsidised development** engagement. For records relating to this subseries, refer to main series 8 as this is dealt with as part of the normal teaching-learning activities.
- **Subseries 2** is used for the management of records relating to **technology transfer and commercialisation**. The main record owner is the Director: Technology Transfer and Innovation Support. The legal aspects of this are dealt with in series 2.4 and IP management is dealt with in series 1.1.10.
- **Subseries 3** is used for the management of records relating to **developmental activities with focus on recruitment of students**. These include faculty initiatives, sports weeks, open days, etc. please also refer to series 6.6 in this regard.
- **Subseries 4** is used for the management of records relating to **community engagement**. The main records owner is the Manager: Community Engagement and the records are mainly dealt with as case files.
- **Subseries 5** is used for the management of records relating to **provision of professional expertise**. The main record owner is the Executive Director: Research and innovation. This matter is also dealt with as part of the performance management system of the NWU. Refer to series 3.5. Records relating to membership and liaison with professional bodies, statutory bodies or associations, etc. are managed in series 1.7 to 1.11.
- **Subseries 6** is used for the management of records relating to **specialised innovation activities**. The main record owner is the Director: Technology Transfer and Innovation Support.

| Number | Policies |
|--------|--|
| 10P | <p>10P Community Engagement Policy</p> <p>10P_10.4 Environmental Sustainability Policy</p> <p>10P_10.6 Rules for the Innovation Awards for researcher/s and staff members at the NWU</p> <p>Disposal of the Original: A after approval as part of Council records Office responsible for original: Corporate Information and Governance Services Other offices' disposal: A after update or revision</p> |
| Number | Procedures, manuals, guidelines and strategies |
| 10Pr | <p>10Pr Guide for external cooperation in a field of research and the commercialisation of research outputs</p> <p>10Pr_10.4 Environmental Sustainability Guidelines for the North-West University</p> <p>10Pr_10.5.1 Community Engagement Strategy</p> <p>10Pr_10.7 Rules and Procedures for the use of the HPI Gymnasium</p> <p>Disposal of the Original: D5 after every update Office responsible for original: Manager in the specific division/process owner Other offices' disposal: D after update or revision</p> |

| Ref # | Description of record | Disposal of original | Office responsible for record | Other offices | Classification of information | Contains personal information? |
|--------|--|--|---|--|-------------------------------|--------------------------------|
| 10.1 | <u>Subsidised development engagement</u> <i>Please refer to main series 8 (Teaching-Learning)</i> | | | | | |
| 10.2 | <u>Technology</u> | | | | | |
| 10.2.1 | Administration and Marketing <i>Open files but should contain related information</i> | A1 | Director: Technology Transfer and Innovation | No records to be kept by other offices | 3 | N |
| 10.2.2 | Patent based cases <i>Open files but should contain related information</i> 10.2.2.4 Patent decision termination sheet | A1 | Director: Technology Transfer and Innovation | No records to be kept by other offices | 3 | N |
| 10.2.3 | Non-patent-based cases <i>Open files but should contain related information</i> | P in office of origin | Director: Technology Transfer and Innovation | No records to be kept by other offices | 3 | N |
| 10.2.4 | Entrepreneurship, Development and Training <i>Open files but should contain related information</i> | P in office of origin | Director: Technology Transfer and Innovation | No records to be kept by other offices | 3 | N |
| 10.2.5 | Innovation competitions <i>Open files but should contain related information</i> | P in office of origin A – information on competitions | Director: Technology Transfer and Innovation | No records to be kept by other offices | 3 | N |
| 10.2.6 | Business development <i>Open files but should contain related information</i> | P in office of origin | Director: Technology Transfer and Innovation | No records to be kept by other offices | 3 | N |
| 10.2.7 | Consultation and Innovation services <i>Open files but should contain related information</i> | P in office of origin | Director: Technology Transfer and Innovation | No records to be kept by other offices | 3 | N |
| 10.3 | <u>Developmental activities with focus on recruitment of students</u> | | | | | |
| 10.3.1 | List of activities | A after every update | Executive Director: Research and Innovation | D1 | 3 | N |
| 10.3.2 | Faculty initiatives <i>Open files but should contain related information</i> | A1 | Executive Dean of the Faculty and Faculty Manager | D1 | 3 | N |
| 10.3.3 | Sports week <i>Open files but should contain related information</i> <i>Also refer to sports management</i> | A1 | Sport code manager | D1 | 3 | N |
| 10.3.4 | Open day visits <i>Refer to 6.6</i> | Refer to 6.6 | Refer to 6.6 | Refer to 6.6 | Refer to 6.6 | Refer to 6.6 |
| 10.4 | <u>Community engagement</u> | | | | | |
| 10.4.1 | Strategy | A | Manager: Community engagement | D1 | 3 | N |
| 10.4.2 | List of projects (database) | A after every update | Manager: Community engagement | D1 | 3 | Y |

| Ref # | Description of record | Disposal of original | Office responsible for record | Other offices | Classification of information | Contains personal information? |
|--------|--|--|---|---------------|-------------------------------|--------------------------------|
| 10.4.3 | Brochure | A | Manager: Community engagement | D1 | 3 | N |
| 10.4.4 | <p>Projects <i>A case file is opened for each project and referenced by number and name of project, e.g. 10.4.4C_nameofproject:</i></p> <p>10.4.4.1 Charity projects 10.4.4.2 Corporate Social investment projects 10.4.4.3 Corporate social responsibility projects 10.4.4.4 Social entrepreneurs</p> <p><i>Each case file must contain the following records:</i></p> <ul style="list-style-type: none"> • Identification • Screening • Evaluation/impact assessment • Planning/implementation • Questionnaire on projects • Project leader information • Project title information • Funding • Terms and conditions • Information on beneficiaries | DAU5 Consult with the NWU Archivist for possible archival of project files with historical and/archival value | Manager: Community engagement | D3 | 3 | Y |
| 10.4.5 | NWU social development trust <i>Open files but should contain related information</i> | A | Manager: Community engagement | D1 | 3 | Y |
| 10.4.6 | Community outreach <i>A case file is opened and referenced by number and authority abbreviation, e.g. 10.4.6C_HSS</i> | DAU5 | Manager in control of outreach | D1 | 3 | Y |
| 10.5 | Provision of professional expertise | | | | | |
| 10.5.1 | List of activities | A after every update This record forms part of 10Pr | Executive Director: Research and Innovation | D1 | 3 | N |
| | This matter is also dealt with as part of the performance management system of the NWU. Refer to 3.5 | | | | | |
| 10.5.2 | Law clinic case files <i>Referenced by number and surname and initials, e.g. 10.5.2C_Smith_RM OR 10.5.2C_Casenumner (as determined by the law clinic)</i> | D7 | Officer in charge of the case | D1 | 3 | Y |
| 10.5.3 | Internships training programmes | D5 | Officer in charge | D1 | 3 | Y |
| 10.5.4 | Psychology case file <i>Referenced by number and surname and initials, e.g. 10.5.4C_Smith_RM</i> 10.5.4.1 Client statistics | D5 | Officer in charge | D1 | 4 | Y |

| Ref # | Description of record | Disposal of original | Office responsible for record | Other offices | Classification of information | Contains personal information? |
|-------|--|---------------------------------------|--|--|-------------------------------|--------------------------------|
| 10.6 | <u>Specialised innovation activities</u> <i>A case file is opened for each specialised activity and referenced by number and name of activity, e.g. 10.6C_Science_Park</i> | Please consult with the NWU Archivist | Director: Technology Transfer and Innovation Support | No records to be kept by other offices | 3 | Y |
| 10.7 | High Performance Institute of Sport Activities 10.7.1 Registration form | D1 after date of registration | Facility Manager: HPI | No records to be kept by other offices | 3 | Y |
| 10.8 | <u>Psychometric assessment</u> <i>Assessments are referenced as case files per facility where the assessment has taken place, e.g. 10.8C_facility_year (10.8C_MagaliesburgSOS_1989)</i> 10.8.1 Timetable 10.8.2 List of consumers 10.8.3 Assessments 10.8.4 Reporting | TBC | TBC | TBC | 4 | Y |
| | | | | | | |

AUTHORITY LIST

All business entities are classified as per the official classification in the People and Culture database.

Note: These abbreviations may or may not coincide with the network ID of the various departments. For any amendments to this list, please contact the Senior Records Officer.

North-West University

NWU

CAMPUS REFERENCES

Mahikeng Campus

M

Potchefstroom Campus

P

Vanderbijlpark Campus

V

FACULTY REFERENCES

Economic and Management Sciences

FEMS

Education

FEDU

Engineering

FENG

Health Sciences

FHSS

Humanities

FHUM

Law

FLAW

Natural and Agricultural Sciences

FNAS

Theology

FTHEO

COMMERCIAL RESEARCH ENTITIES

Centre for Pharmaceutical and Biomedical Services

CPBS

DEPARTMENTS

Campus Operations – Mafikeng

Sustainability and Community Impact MSCI

Campus Operations – Potchefstroom

Information Technology PCOIT

Campus Operations – Vaal Triangle

Integrated Planning Strategic Intelligence VIPSI

DVC: Teaching and Learning

Centre for Teaching and Learning CTL

Library and Information Services LIS

LIS – Quality and Staff development LISQSD

Qualifications and Academic Programme Planning QAPP

Unit for Continuing Education UCE

DVC: Research and Innovation

Global Engagement RIGE

Research Support RIRS

Technology Transfer and Innovation Support TTIS

Executive Director: Corporate Relations and Marketing

Corporate Communication CRMCC

Marketing and Student recruitment MSR

Stakeholders Relations CRMSR

Executive Director: Finance and Facilities

Business and Enterprise development FFBED

Central Costs FFFSC

Central Costs: Physical Infrastructure & Planning FFCSPIP

Facilities FFFac

Financial Planning FFFP

Governance Reporting and Treasury FFGRT

Pensioners and Overheads (Mafikeng) FFPOM

Pensioners and Overheads (Potchefstroom) FFPOP

Pensioners and Overheads (Vaal Triangle) FFPOV

Pensioners and Overheads FFPO

Protection Services FFPS

Purchase and Payments FFPP

Student Fees and Financial Related Services SFFS

DEPARTMENTS

DEPARTMENTS

Executive Director: People & Culture

| | |
|--|--------|
| Client Services | PNCCS |
| Employee Relations and Wellness | PNCERW |
| Remuneration and HR Administration | PNCRA |
| Talent Management & Organisational Development | PNCTMO |

Faculty of Engineering

| | |
|--|--------|
| Centre for Research and Continuous Eng Development (P) | CRCEDP |
| Centre for Research and Continuous Eng Development (V) | CRCEDV |
| Centre of Engineering Education | CEE |

Faculty of Health Sciences

| | |
|--|----------|
| Centre for Health and Human Performance | CHHP |
| Centre for Health Professional Education | CHPE |
| Drug Delivery | DDE |
| Drug Discovery | DDI |
| Health Sciences Ethics Office | HSEO |
| Institute for Biokinetics | IBK |
| Institute for Sport Sciences and Development | ISSD |
| Institute of Psychology and Wellbeing | IPW |
| Research Institute for Industrial Pharmacy | CENQAM |
| Translational Neuroscience and Neurotherapeutics | TNN |
| Vivarium | VIVARIUM |

Faculty of Humanities

| | |
|--|-------|
| Bench Marks Centre for Corporate Social Responsibility | BCCSR |
| Centre for Text Technology | cTexT |
| Centre for Translation Studies | CTS |

Faculty of Law

| | |
|---|-------|
| Community Law Centre (M) | MCLC |
| Law Clinic (P) | PCLC |
| Professional Development & Community Engagement | LPDCE |

Faculty of Natural and Agricultural Sciences

| | |
|--|------|
| African Centre for Disaster Studies | ACDS |
| Centre for Environmental Management | DCEM |
| Centre for Water Sciences and Management | CWSM |
| Instrument Making | DIM |

DEPARTMENTS

DEPARTMENTS

Registrar

| | |
|---|------|
| Corporate and Information Governance Services | CIGS |
| Internal Audit | RIA |
| Language directorate | NLD |
| Legal Services | RLS |
| Student Academic Lifecycle Administration | SALA |
| Student Judicial Services | SJS |

Student Life

| | |
|----------------------------|-----|
| High Performance Institute | HPI |
| Student Life (M) | MSL |
| Student Life (P) | PSL |
| Student Life (V) | VSL |

DIVISIONS

Campus Operations Campus

| | |
|---|-------|
| Operations – Mahikeng Campus | MCOPS |
| Campus Operations – Potchefstroom Campus | PCOPS |
| Campus Operations – Vanderbijlpark | VCOPS |
| DVC: Research and Innovation | DVCRI |
| DVC: Teaching and Learning | DVCTL |
| Executive Director: Corporate Relations and Marketing | CRM |
| Executive Director: Finance and Facilities | FF |
| Executive Director: People and Culture | PNC |
| Registrar | RG |
| Student Life | SL |

HOSTED ENTITIES

| | |
|--|---------|
| Centre for Human Metabolomics | HECHM |
| Hydrogen South Africa | HySA |
| Indigenous Knowledge Systems Centre | IKS |
| Preclinical Drug Development Platform | PCDDP |
| SA Centre for Digital Language Resources | SADiLar |

SCHOOLS

NWU

| | |
|---|--------|
| Centre for Business Mathematics and Informatics | CBMI |
| School of Accounting Sciences | SASc |
| School of Ancient Language and Text Studies | SALTS |
| School of Biological Sciences | SBS |
| School of Business and Governance | SBG |
| School of Christian Ministry and Leadership | SCML |
| School of Commerce and Social Sciences in Education | SCSSE |
| School of Communication Studies | SCS |
| School of Computer Sciences and Information Systems | SCSaIS |
| School of Economic Sciences | SES |
| School of Geo- and Spatial Sciences | SGPS |
| School of Government Studies | SGS |
| School of Human Movement Sciences | SHMS |
| School of Industrial Psychology and Human Resource Management | SIPHR |
| School of Languages in Education | SLEDU |
| School of Languages | SLANG |
| School of Law – Postgraduate Studies | SLPGS |
| School of Law – Undergraduate Studies | SLUS |
| School of Management Sciences | SMNGS |
| School of Mathematical and Statistical Sciences | SMSS |
| School of Natural Sciences in Education | SNSSED |
| School of Nursing | SN |
| School of Philosophy | SFL |
| School of Physical and Chemical Sciences | SPCS |
| School of Professional Studies | SPS |
| School of Psychosocial Health | SSPH |
| School of Psychosocial Sciences | SPED |
| School of Social Sciences | SSS |
| School of Tourism | STRSM |

Mahikeng Campus

| | |
|---|--------|
| School of Accounting Sciences | SAScM |
| School of Agricultural Sciences | SAGS |
| School of Ancient Language and Text Studies | SALTSM |
| School of Biological Sciences | SBSM |
| School of Business and Governance | MSBG |

SCHOOLS

SCHOOLS

| | |
|---|---------|
| School of Christian Ministry and Leadership | SCMLM |
| School of Commerce and Social Sciences in Education | SCSSEM |
| School of Communication Studies | SCSM |
| School of Computer Sciences and Information Systems | SCSaISM |
| School of Economic Sciences | MSES |
| School of Geo- and Spatial Sciences | SGPSM |
| School of Government Studies | SGSM |
| School of Human Movement Sciences | SHMSM |
| School of Industrial Psychology and Human Resource Management | SIPFRMM |
| School of Languages in Education | SLEDUM |
| School of Languages | SLANGM |
| School of Law – Postgraduate Studies | SLPGSM |
| School of Law – Undergraduate Studies | SLUSM |
| School of Management Sciences | SMNGSM |
| School of Mathematical and Statistical Sciences | SMSSM |
| School of Natural Sciences in Education | SNSEDM |
| School of Nursing | SNM |
| School of Philosophy | SPLM |
| School of Physical and Chemical Sciences | SPCSM |
| School of Professional Studies | SPSM |
| School of Psychosocial Education | SPEDM |
| School of Psychosocial Health | SSPHM |
| School of Social Sciences | SSSM |
| School of Tourism | STRSMM |

Potchefstroom Campus

| | |
|---|---------|
| School of Accounting Sciences | SAScP |
| School of Ancient Language and Text Studies | SALTSP |
| School of Biological Sciences | SBSP |
| School of Business and Governance | PSBG |
| School of Chemical and Mineral Engineering | SCME |
| School of Christian Ministry and Leadership | SCMLP |
| School of Commerce and social Sciences in Education | SCSSEP |
| School of Communication Studies | SCSP |
| School of Computer Sciences and Information Systems | SCDaISP |
| School of Economic Sciences | SECONP |
| School of Electrical, Electronic and Computer Engineering | SEECE |
| School of Geo- and Spatial Sciences | SGPSP |

SCHOOLS

SCHOOLS

| | |
|---|---------|
| School of Government Studies | SGSP |
| School of Human Movement Sciences | SHMSP |
| School of Industrial Engineering | SIE |
| School of Industrial Psychology and Human Resource Management | SIPHRMP |
| School of Languages in Education | SLEDUP |
| School of Languages | SLANP |
| School of Law – Postgraduate Studies | SLPGSP |
| School of Management Sciences | SMNGSP |
| School of Mathematical and Statistical Sciences | SMSSP |
| School of Mechanical Engineering | SMEN |
| School of Music | SSM |
| School of Natural Sciences in Education | SNSEDP |
| School of Nursing | SNP |
| School of Pharmacy | SPH |
| School of Philosophy | SPLP |
| School of Physical and Chemical Sciences | SPCSP |
| School of Physiology and Consumer Sciences | SPNCS |
| School of Professional Studies | SPSP |
| School of Psychosocial Education | SPEP |
| School of Psychosocial Health | SSPHP |
| School of Social Sciences | SSSP |
| School of Tourism | STRSMP |

Vanderbijlpark Campus

| | |
|---|---------|
| School of Accounting Sciences | SAScV |
| School of Ancient Language and Text Studies | SALTSV |
| School of Business and Governance | VSBG |
| School of Christian Ministry and Leadership | SCMLV |
| School of Commerce and Social Sciences in Education | SCSSEV |
| School of Communication Studies | SCSV |
| School of Computer Sciences and Information Systems | SCSaISV |
| School of Economic Sciences | SECONV |
| School of Geo- and Spatial Sciences | SGPSV |
| School of Government Studies | SGSV |
| School of Industrial and Human Resource Management | SIPHRMV |
| School of Languages in Education | SLEDUV |
| School of Languages | SLANV |
| School of Law – Postgraduate Studies | SLPGSV |

SCHOOLS

SCHOOLS

| | |
|---|--------|
| School of Law – Undergraduate Studies | SLUSV |
| School of Management Sciences | SBMNV |
| School of Mathematical and Statistical Sciences | SMSSV |
| School of Natural Sciences in Education | SNSEDV |
| School of Nursing | SNV |
| School of Philosophy | SPLV |
| School of Professional Studies | SPSV |
| School of Psychosocial Education | SPEV |
| School of Psychosocial Health | SSPHV |
| School of Social Sciences | SSSV |

RESEARCH CENTRE OF EXCELLENCE

| | |
|--|-----------|
| Centre of Excellence Carbon Bases Fuels | RCECBF |
| Centre of Excellence for Nutrition | CEN |
| Centre of Excellence for Pharmaceutical Sciences | PhaRmaCen |
| Centre for Space Research | CSR |
| Hypertension in Africa research Team | HART |

RESEARCH ENTITIES

| | |
|---|-------|
| Centre for Applied Radiation Science and Technology | CARST |
| Centre for Child, Youth and Family Studies | CCYFS |

RESEARCH FOCUS AREA

| | |
|---|----------|
| Chemical Resource Beneficiation | RFCRB |
| Community Psychosocial Research | Compres |
| Human Metabolomics | RFHM |
| Material Science Innovation and Modelling | MaSIM |
| Optentia | OPTENTIA |
| Physical Activity Sport and Recreation | PhaSRec |
| Population and Health | RFPH |
| Quality in Nursing and Midwifery | INSINQ |

RESEARCH FOCUS AREA

| | |
|---|----------|
| Self-Directed Learning | RFSDL |
| Social Transformation | RFST |
| Trade and Development | TRADE |
| Understanding & Processing Language in Complex Settings | RFUPLICS |

RESEARCH NICHE AREA

| | |
|--|----------|
| Ancient Texts: Text, Context and Reception | RFAATCR |
| Community Based Educational Research | COMBER |
| Educational Leadership | EDU-LEAD |
| Global Initiative Forefront Talent | GIFT |
| Indigenous Language Media in Africa | ILMA |
| Lifestyle Diseases | RNLD |
| Medicine Usage in South Africa | MUSA |
| Multilingual Speech Technologies | MuST |
| Musical Arts in South Africa: Resources and Applications | MASARA |
| Occupational Hygiene and Health Research Initiative | OHHRI |
| TELIT-SA | TELIT |
| Visual narratives | RNVN |

RESEARCH UNIT

| | |
|---|------------|
| Africa Unit for Transdisciplinary Health Research | AUTHER |
| Education and Human Rights in Diversity | RUEDURIGHT |
| Food Security and Safety | RNFS |
| Law: Justice and Sustainability | RULJS |
| Tourism in Economic Environs and Society | TREES |
| Unit for Business Mathematics and Informatics | RUBMI |
| Unit for Energy and Technology Systems | RUETS |
| Unit for Environmental Sciences and Management | RUESM |
| Unit for Languages and Literature in the SA Context | LLISAC |
| Unit for Reformational Theology and Dev of the SA Society | RURTD |
| Workwell Research Unit for Economic Management Sciences | Workwell |

SUB-DEPARTMENTS

Campus Operations – Potchefstroom

| | |
|---|-----------|
| Electronic Services | PCOES |
| Information Technology | COIT IT |
| Academic and Office Solutions | PCOAOS IT |
| Business System Development and Support | PCOBSD |
| IT Enterprise Architecture | PCOITA IT |
| Operations and Infrastructure | PCOOI |

Campus Operations – Vaal Triangle

| | |
|------------------------|-----|
| Quality Enhancement | VQE |
| Strategic Intelligence | VSI |

DVC: Research and innovation

| | |
|--|---------|
| TTIS – Advancement and Fund Raising | TTISAFR |
| TTIS – Innovation Advancement | TTISIA |
| TTIS – Intellectual Property Rights & Administration | TTISIP |
| TTIS – New Innovation Initiatives | TTISII |

DVC: Teaching and Learning

| | |
|---|---------|
| CTL – Centralised Functions | CTLGen |
| CTL – Faculty Teaching and Learning Support | CTLTLS |
| CTL – Specialised Projects and Research | CTLSPR |
| CTL – Teaching & Learning Environment Support | TLENS |
| LIS – Client Services | LISCS |
| LIS – Shared Services | LISSS |
| UCE – Business Development | UCEBus |
| UCE – Operations Mafikeng Campus | MUCEOPS |
| UCE – Operations Potchefstroom Campus | PUCEOPS |
| UCE – Operations Vaal Triangle Campus | VUCEOPS |
| UCE – Operations | UCEOPS |
| UCE – Systems | UCESys |

Executive Director: Corporate Relations and Marketing

| | |
|-------------------------------------|-------|
| Market Research and Data Analytics | MRDA |
| Recruitment and Brand Communication | RBC |
| Recruitment Events and Promotions | REP |
| Recruitment: Postgraduate | PGR |
| Recruitment: Undergraduate | UGR |
| Recruitment: UODL | UODLR |

SUB-DEPARTMENTS

Executive Director: Finance and Facilities

| | |
|---|----------|
| Bank Accounts Administration | FFBAA |
| Bursary Office (M) | FFBOM |
| Bursary Office (P) | FFBOP |
| Bursary Office (V) | FFBOV |
| Bursary Office | FFBO |
| Cachet Park | FFCP |
| Crime Intelligence (P) | FFCIP |
| Engineer: Legal Compliance | FFLC |
| Engineering Compliance (M) | FFECM |
| Engineering Compliance (P) | FFECP |
| Engineering Compliance (V) | FFECV |
| Financial Relates Systems | FFFRS |
| Fleet Vehicles | FFFS |
| Infrastructure Design and Construction | FFIDC |
| Inventory Administration | FFIA |
| Maintenance and Facilities Services (M) | MFSM |
| Maintenance and Facilities Services (P) | MFSP |
| Maintenance and Facilities Services (V) | MFSV |
| Maintenance and Facilities Services | FFMFS |
| Money Market | FFMM |
| Occupational Health and Safety | FFOHS |
| Payroll | FFPay |
| Protection Services (M) | FFPSM |
| Protection Services (P) | FFPSP |
| Protection Services (V) | FFPSV |
| RCS Oosterhof | ROos |
| RCS Biko House | RBH |
| RCS Bohale | RBOH |
| RCS Caput | RCap |
| RCS Catering Services (M) | FFRCSM |
| RCS Catering Services (P) | FFRSCP |
| RCS Dampad | RCSDAM |
| RCS De Wilgers | RWilg |
| RCS Drakenstein Restaurant | RCSDraak |
| RCS Edukhosini | REBU |

SUB-DEPARTMENTS

| | |
|------------------------------------|---------|
| RCS Eikenhof | REike |
| RCS Excelsior | RExcel |
| RCS Faranani | RFAR |
| RCS Financial Services (P) | FFFSP |
| RCS Financial Services (V) | FFFSV |
| RCS Financial Services | FFFSM |
| RCS Food and Beverage Services (V) | FFRCS |
| RCS Food and Beverage Services | FFRFB |
| RCS Guest & Sport Housing | RCSGSH |
| RCS Guest Houses (V) | RCSGH |
| RCS Heide | RHeide |
| RCS Hombré | RHom |
| RCS Hopeville | RHope |
| RCS Horison | RHor |
| RCS Hospitality Services | RCSHF |
| RCS Hospitality Services | RCSHosp |
| RCS James Moroka | RJM |
| RCS Jasmyn | RJAS |
| RCS Karlien | RKar |
| RCS Kasteel | RKas |
| RCS Kgosi Dick Montshioa | RKDM |
| RCS Khayelitsha | Rkhay |
| RCS Khumba | RKHU |
| RCS Klawerhof | RKlaw |
| RCS Klipoog Cafeteria | RCSKlip |
| RCS Kom en Gaan | RKENG |
| RCS Laureus | RLau |
| RCS Longfellow | RLONG |
| RCS Lost City | RLost |
| RCS Mbada | RMbada |
| RCS Minjonet | RMin |
| RCS Nelson Mandela 1 | RNM1 |
| RCS Nelson Mandela 2 Leopards | RNM2 |
| RCS Ngaka Modiri Molema | RNMM |
| RCS Oppirif | ROppi |
| RCS Over de Voor | ROdv |
| RCS Patria | RPat |

SUB-DEPARTMENTS

| | |
|-------------------------------------|---------|
| RCS Ratau | RRat |
| RCS Republiek | RRep |
| RCS Residence Services (P) | RCSRSP |
| RCS Residence Services (V) | RCSRSV |
| RCS Residence Services | FFRSM |
| RCS Sedibeng | RSedi |
| RCS Sol Plaatjie | RSP |
| RCS Staff Housing (P) | RSHP |
| RCS Staff Housing (V) | RSHV |
| RCS Staff Housing | RSHM |
| RCS Thuthuka | RTHU |
| RCS Vergeet-my-nie | RVMN |
| RCS Vergelegen | RVERG |
| RCS Veritas | RVeri |
| RCS Voorhuis | RCSVOOR |
| RCS Wag-'n-Bietjie | RWNB |
| RCS Wanda | RWan |
| Residence and Catering Services (M) | RCSM |
| Residence and Catering Services (P) | RCSP |
| Residence and Catering Services (V) | RCSV |
| Security (P) | FFSecP |
| Space Management and utilities | FFSMU |
| Student Accounts (M) | MSA |
| Student Accounts (P) | PSA |
| Student Accounts (V) | VSA |
| Traffic (P) | FFTP |
| Registrar | |
| Administrative Logistics | RAL |
| Applications and Admissions (M) | CAAOM |
| Applications and Admissions (P) | CAAOP |
| Applications and Admissions (V) | CAAOV |
| Assessment and Timetables (M) | MATT |
| Assessments and Timetables (P) | PATT |
| Assessments and Timetables (V) | VATT |
| Central Applications and Admissions | CAAO |
| Compliance | RCOMP |
| E-Learning Support | ELS |

SUB-DEPARTMENTS

| | |
|--|----------|
| Higher Degrees and Ceremonies | HDC |
| Higher Degrees Campus Support (M) | HDAM |
| Higher Degrees Campus Support (P) | HDAP |
| Higher Degrees Campus Support (V) | HDAV |
| Interpreting Services | LDIS |
| Learning Support Centres | LSC |
| Projects and Tender Management | PTM |
| Quality Control | RGQC |
| Records, Archives and Museum | RAM |
| SALA Economic & Management Sciences | SALAEMS |
| SALA Education | SALAEDU |
| SALA Engineering | SALAENG |
| SALA Health Sciences | SALAHSS |
| SALA Humanities | SALAHUM |
| SALA Law | SALALAW |
| SALA Natural & Agricultural Sciences | SALANAS |
| SALA Operations (M) | SALAOPSM |
| SALA Operations (P) | SALAOPSP |
| SALA Operations (V) | SALAOPSV |
| SALA operations and Administration | SALAOPA |
| SALA Theology | SALATHE |
| Secretariat | RSEC |
| Student Systems | SAS |
| Study Material (M) | MSM |
| Study Material (P) | PSM |
| Study Material (V) | VSM |
| Undergraduate Registration & Records (M) | URRM |
| Undergraduate Registration & Records (P) | URRP |
| Undergraduate Registration & Records (V) | URRV |
| Unit for Open Distance Learning | UODL |
| UODL Faculty Managers | UODLFM |
| Student Life | |
| Campus Arts (P) | PARTS |
| Campus Sport (M) | MCS |
| Campus Sport (P) | PCS |
| Campus Sport (V) | VCS |
| Health Care Centre (M) | MHCC |

SUB-DEPARTMENTS

| | |
|--|---------|
| Health Care Centre (V) | VHCC |
| Institute for Arts Management and development (P) | PIAMD |
| Occupational Health and Safety: Health Care Centre (P) | POHSHCC |
| Rugby Institute | PRI |
| Soccer Institute | MSI |
| Student Council (M) | MCSC |
| Student Council (P) | PCSC |
| Student Council (V) | VCSC |
| Student Counselling and Development (M) | MSCD |
| Student Counselling and Development (P) | PSCD |
| Student Counselling and Development (V) | SCSD |

SUB-DEPARTMENTS WITHIN FACULTIES

| | |
|---|--------|
| Economic & Management Sciences – Assigned Functions | EMSAF |
| Economic & Management Sciences – Research & Innovation | EMSRI |
| Economic & Management Sciences – Teaching & Learning | EMSTL |
| Education – Community Engagement and Commercialisation | EDUCEC |
| Education – Research & Innovation | EDURI |
| Education – Teaching & Learning | EDUTL |
| Health Sciences – Assigned Functions | HSSAF |
| Health Sciences – Research & Innovation | HSSRI |
| Health Sciences – Teaching & Learning | HSSTL |
| Humanities – Assigned Functions | HUMAF |
| Humanities – Research & Innovation | HUMRI |
| Humanities – Teaching & Learning | HUMTL |
| Law – Assigned Functions | FLAFM |
| Natural & Agricultural Sciences – Assigned Functions | NASAF |
| Natural & Agricultural Sciences – Research & Innovation | NASRI |
| Natural & Agricultural Sciences – Teaching & Learning | NASTL |

SUBJECT GROUPS

Economic and Management Sciences

| | |
|-----------------|--------|
| Accountancy (M) | SGACMM |
|-----------------|--------|

SUBJECT GROUPS

| | |
|---|---------|
| Accountancy (P) | SGACMP |
| Accountancy (V) | SGACMV |
| Agricultural Economics (P) | SGAEP |
| Applied Risk Management (V) | SGARMV |
| Auditing (M) | SGAUDM |
| Auditing (P) | SGAUDP |
| Auditing (V) | SGAUDV |
| Business Management (M) | SGBMNM |
| Business Management (P) | SGBMNP |
| Business Management (V) | SGBMV |
| Business Statistics and Operations Research (M) | SGBORM |
| Economics (M) | SGECONM |
| Economics (P) | SGECONP |
| Economics (V) | SGECONV |
| Financial Accounting (M) | SGFACM |
| Financial Accounting (P) | SGFACP |
| Financial Accounting (V) | SGFACV |
| Forensic Accountancy (P) | SGFAP |
| Human Resource Management (M) | SGHRMM |
| Human Resource Management (P) | SGHRMP |
| Human Resource Management (V) | SGHRMV |
| Industrial Psychology (M) | SGIPSM |
| Industrial Psychology (P) | SGIPSP |
| Industrial Psychology (V) | SGIPSV |
| Information Systems (M) | SGIMM |
| International Trade (P) | SGITRP |
| International Trade (V) | SGITRV |
| Labour Relations (M) | SGLRM |
| Labour Relations (P) | SGLRP |
| Labour Relations (V) | SGLRV |
| Management Accounting and Finance (M) | SGMAFM |
| Management Accounting and Finance (P) | SGMAFP |
| Management Accounting and Finance (V) | SGMAFV |
| Marketing Management (M) | SGMMM |
| Marketing Management (P) | SGMMP |
| Marketing Management (V) | SGMMV |
| Public Administration & Local Government (M) | SGPALGM |

SUBJECT GROUPS

| | |
|--|----------|
| Risk Management (P) SGRMP Risk Management (V) | SGRMV |
| Sport Management (V) | SGSMV |
| Supportive Courses (M) | SGSCM |
| Supportive Courses (P) | SGSCP |
| Taxation (M) | SGTAXM |
| Taxation (P) | SGTAXP |
| Taxation (V) | SGTAXV |
| Tourism Management (M) | SGTRM |
| Tourism Management (P) | SGTRSM P |
| Training and Development (P) | SGTDP |
| Transport Economics and Logistics Management (M) | SGTELM M |
| Faculty of Education | |
| Afrikaans for Education (P) | SGAfEP |
| Afrikaans for Education (V) | SGAfEV |
| Comparative Education (M) | SGCEM |
| Comparative Education (P) | SGCEP |
| Comparative Education (V) | SGVEC |
| Computer Sciences Education (M) | SGCSEM |
| Computer Sciences Education (P) | SGCSEP |
| Computer Sciences Education (V) | SGCSEV |
| Creative Arts in Education (P) | SGCAP |
| Curriculum Studies (M) | SGCurM |
| Curriculum Studies (P) | SGCurrP |
| Curriculum Studies (V) | SGCurrV |
| Economic and Management Sciences for Education (M) | SGEMSEM |
| Economic and Management Sciences for Education (P) | SGEMSEP |
| Economic and Management Sciences for Education (V) | SGEMSEV |
| Education Law (M) | SGELM |
| Education Law (P) | SGELP |
| Education Law (V) | SGELV |
| Education Management and Leadership (P) | SGEMLP |
| Education Psychology (M) | SGEDPM |
| Education Psychology (P) | SGEDPP |
| Education Psychology (V) | SGEDPV |
| Educational Management and Leadership (V) | SGEMLV |
| English for Education (M) | SGEEM |
| English for Education (P) | SGEEP |

SUBJECT GROUPS

| | |
|--|--------|
| English for Education (V) | SGEEV |
| Geography and Environmental Education (M) | SGGEEM |
| Geography and Environmental Education (P) | SGGEEP |
| Geography and Environmental Education (V) | SGGEEV |
| History for Education (P) | SGHEP |
| Learner Support (P) | SGLSP |
| Learner Support (V) | SGMEDV |
| Life Orientation (M) | SGLOM |
| Life Orientation (P) | SGLOP |
| Life Orientation (V) | SGLOV |
| Mathematics Education (M) | SGMEM |
| Mathematics Education (P) | SGMEP |
| Mathematics Education (V) | SGMEV |
| Movement Education (M) | SGMEDM |
| Movement Education (P) | SGMEDP |
| Natural Sciences Education (M) | SGNSEM |
| Natural Sciences Education (P) | SGNSEP |
| Natural Sciences Education (V) | SGNSEV |
| Setswana and African Languages for Education (M) | SGSALM |
| Setswana and African Languages for Education (P) | SGSALP |
| Setswana and African Languages for Education (V) | SGSALV |
| Technology for Education (M) | SGTEDM |
| Technology for Education (P) | SGTEDP |
| Technology for Education (V) | SGTEDV |
| Faculty of Health Sciences | |
| Clinical Pharmacy (P) | SGCP |
| Coaching Science (M) | SGSM |
| Coaching Science (P) | SGCSP |
| Coaching Science (P) | SGCSP |
| Consumer Sciences (P) | SGCons |
| Human Movement Science (P) | SGHMP |
| Human Movement Science (P) | SGHMP |
| North-West Academy for Sport (P) | SGNWAS |
| North-West Academy for Sport (P) | SGNWAS |
| Nursing Post basic Programmes (M) | SGNPPM |
| Nursing Post basic Programmes (P) | SGNPPP |
| Nursing Post basic Programmes (V) | SGNPPV |

SUBJECT GROUPS

| | |
|--|---------|
| Nursing Postgraduate (M) | SGNSPM |
| Nursing Postgraduate (P) | SGNSPP |
| Nursing Postgraduate (V) | SGNSPV |
| Nursing Undergraduate (M) | SGNSUM |
| Nursing Undergraduate (P) | SGNSUP |
| Nursing Undergraduate (V) | SGNSUV |
| Nutrition (P) | SGNUT |
| Pharmaceutical Chemistry (P) | SGPC |
| Pharmaceutics (P) | SGPHC |
| Pharmacology (P) | SGPHCO |
| Pharmacy Practice (P) | SGPP |
| Physiology (P) | SGPHY |
| Psychology (M) | SGPM |
| Psychology (P) | SHPP |
| Psychology (V) | SGSHPV |
| Recreation Science | SGRSP |
| Social Work (M) | SGSWM |
| Social Work (P) | SGSWP |
| Social Work (V) | SGSWV |
| Faculty of Humanities | |
| Academic Literacy (P) | AGAGLEP |
| Academic Literacy (V) | AGAGLEV |
| Afrikaans and Dutch (P) | SGADP |
| Afrikaans and Dutch (V) | SGADV |
| Centre for Academic and Professional Language Practice (P) | SGAPLP |
| Centre for Governance (P) | C-Gov |
| Centre for Translation Studies (V) | cTransV |
| Communication Studies (M) | SGCommM |
| Communication Studies (P) | SGCommP |
| Communication Studies (V) | SGCommV |
| Creative Writing (P) | SGCWP |
| Development Studies (M) | SGDSM |
| English (M) | SGENM |
| English (P) | SGENP |
| English (V) | SGENV |
| Centre for Creativity Training (P) | SGCCTP |
| French (M) | SGFRM |

SUBJECT GROUPS

| | |
|---|---------|
| French (P) | SGFRP |
| French (V) | SGFRV |
| German (P) | SGGERP |
| German (V) | SGGERV |
| Government Studies (M) | SGGSM |
| Graphic Design (P) | SGGDP |
| History (M) | SGHSM |
| History (V) | SGHSV |
| History and Ancient Culture (P) | SGHACP |
| History of Arts (P) | SGHAOP |
| Language Practice (V) | SGLPV |
| Language Technology (P) | SGLTP |
| Philosophy (M) | SGPHM |
| Philosophy (P) | SGPHP |
| Philosophy (V) | SGPHV |
| Political Studies and International Relations (M) | SGPSIRM |
| Political Studies and International Relations (P) | SGPSIRP |
| Political Studies and International Relations (V) | SGPSIRV |
| Population Studies and Demography (M) | SGPSDM |
| Public Management and Administration (V) | SGPMAV |
| Public Management and Governance (P) | SGPMGP |
| Sesotho (V) | SGSESV |
| Setswana (M) | SGSTM |
| Setswana (P) | SGSTP |
| Social Anthropology (P) | SGSAP |
| Sociology (M) | SGSOCM |
| Sociology (P) | SGSOCP |
| Sociology (V) | SGSOCV |
| Translation and Interpreting Studies (P) | SGTISP |
| Faculty of Law | |
| Academic Literacy (M) | AGAGLEM |
| Criminal and Procedural Law (M) | SGCPLM |
| Criminal and Procedural Law (P) | SGCPLP |
| Criminal and Procedural Law (V) | SGCPLV |
| Mercantile Law (M) | SGMLM |
| Mercantile Law (P) | SGMLP |
| Mercantile Law (V) | SGMLV |

SUBJECT GROUPS

| | |
|-----------------|--------|
| Private Law (M) | SGPLM |
| Private Law (P) | SGPLP |
| Private Law (V) | SGPLV |
| Public Law (M) | SGPILM |
| Public Law (P) | SGPULP |
| Public Law (V) | SGPULV |

Faculty of Natural and Agricultural Sciences

| | |
|---|---------|
| Agriculture Economics and Extension (M) | SGAEE |
| Animal Sciences (M) | SGAS |
| Biochemistry (M) | SGBCM |
| Biochemistry (P) | SGBCP |
| Botany (M) | SGBOM |
| Botany (P) | SGBOP |
| Centre for Animal Health Studies (M) | CAHS |
| Centre for Business Mathematics and Informatics (P) | CBMIP |
| Centre for Business Mathematics and Informatics (V) | CBMIV |
| Chemistry (M) | SGCHM |
| Chemistry (P) | SGCHP |
| Compute Science and information Systems (M) | SGCSISM |
| Computer Sciences and Information Systems (P) | SGCSISP |
| Computer Sciences and Information Systems (V) | SGCSISV |
| Crop Sciences (M) | SGCS |
| Farm Administration (M) | SGFA |
| Geography (V) | SGGEPV |
| Geography and environmental Studies (M) | SGGESM |
| Geography and Environmental Studies (P) | SGGESP |
| Geology (P) | SGGEOP |
| Geology (V) | SGGEOV |
| Mathematics and Applied Mathematics (M) | SGMAMM |
| Mathematics and Applied Mathematics (P) | SGMAMP |
| Mathematics and Applied Mathematics (V) | SGMAMV |
| Microbiology (M) SGMBM Microbiology (P) | SGMBP |
| Physics (M) | SGPHYM |
| Physics (P) | SGPHYP |
| Statistics (M) | SGSSTM |
| Statistics (P) | SGSSTP |
| Statistics (V) | SGSTV |

SUBJECT GROUPS

| | |
|--------------------------------|---------|
| Town and Regional Planning (P) | SGTRPP |
| Zoology (M) | SGZOM |
| Zoology (P) | SGZOP |
| Faculty of Theology | |
| Ancient Culture (M) | SGACM |
| Ancient Culture (P) | SGACP |
| Ancient Culture (V) | SGACV |
| Dogmatology (M) | SGDOGM |
| Dogmatology (P) | SGDOGP |
| Dogmatology (V) | SGDOGV |
| Ecclesiology (M) | SGECCM |
| Ecclesiology (P) | SGECCP |
| Ecclesiology (V) | SGECCV |
| Greek (M) | SGGRM |
| Greek (P) | SGGRP |
| Greek (V) | SGGRV |
| Latin (M) | SGLATM |
| Latin (P) | SGLATP |
| Latin (V) | SGLATV |
| Missiology (M) | SGMISSM |
| Missiology (P) | SGMISSP |
| Missiology (V) | SGMISSV |
| New Testament (M) | SGNTM |
| New Testament (P) | SGNTP |
| New Testament (V) | SGNTV |
| Old Testament (M) | SGOTM |
| Old Testament (P) | SGOTP |
| Old Testament (V) | SGOTV |
| Practical Theology (M) | SGPTM |
| Practical Theology (P) | SGPTP |
| Practical Theology (V) | SGNTV |
| Semitic Languages (M) | SGSEMM |
| Semitic Languages (P) | SGSEMP |
| Semitic Languages (V) | SGSEMV |

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