[Please insert your organisation’s document control format, including document control, next revision date, effective date, approvals etc]

**POPI Records Management Policy**

Contents

[1 Introduction 2](#_Toc467133235)

[2 Purpose 2](#_Toc467133236)

[3 Scope 2](#_Toc467133237)

[4 Policy contents 2](#_Toc467133238)

[4.1 Background 2](#_Toc467133239)

[4.2 Executive commitment 2](#_Toc467133240)

[4.3 Roles and Responsibilities 3](#_Toc467133241)

[4.4 Records and Information Life Cycle Management 3](#_Toc467133242)

[4.5 Records Security 3](#_Toc467133243)

[4.5.1 Approved storage locations 3](#_Toc467133244)

[4.5.2 Record access rules and control measures 4](#_Toc467133245)

[4.5.3 Destruction control measures 4](#_Toc467133246)

[4.6 Records classification system 4](#_Toc467133247)

[4.7 Policy Implementation 4](#_Toc467133248)

[5 Policy Compliance 4](#_Toc467133249)

[5.1 Compliance Measurement 4](#_Toc467133250)

[5.2 Exceptions 4](#_Toc467133251)

[5.3 Non-Compliance 4](#_Toc467133252)

[6 Appendices 4](#_Toc467133253)

[6.1 Definitions 4](#_Toc467133254)

[6.2 Good practice in records management 5](#_Toc467133255)

[6.3 Appendix x: Records Management Glossary of Abbreviations and Acronyms 6](#_Toc467133256)

[6.4 Appendix x: Electronic Document Naming Convention 6](#_Toc467133257)

[6.5 Appendix x: Paper Document Naming Convention 6](#_Toc467133258)

[6.6 Appendix x: Other format Document Naming Convention 6](#_Toc467133259)

[6.7 Appendix x: Sample document and retention list 6](#_Toc467133260)

[6.8 Sources 16](#_Toc467133261)

# Introduction

A Records Management policy can be an important tool to ensure that all aspects of managing records support compliance with the POPI Act. It is one of the top strategies to utilize when trying to reduce the risk of security breaches in the workplace. Such a policy can also increase employee’s awareness about protecting sensitive information.

This policy supports compliance with the POPI Act, Condition 3: Purpose specification (section 14), Condition 5: Information Quality and Condition 7: Security safeguards, as well as ISO 15489-1:2001 Information and documentation – Records Management (Part 1 General) and ISO 15489-2:2001 Information and documentation – Records Management (Part 2: Guidelines).

# Purpose

The purpose for this policy is to establish the minimum requirements for Records Management in support of compliance with the POPI Act and good governance and effective risk management. A records management policy is a cornerstone of effective management of records in an organisation. It:

* demonstrates to employees and stakeholders that managing records is important to the organisation
* provides a statement of intentions that underpins a records management programme
* serves as a mandate for the activities of the records manager
* provides a framework for supporting documents such as procedures, business rules, disposal schedules etc.

# Scope

This policy applies to all <Company Name> employees and contractors.

* Format – it covers all records, whatever the technology used to create and store them and includes business systems as well as traditional correspondence files and email
* Lifetime – it covers records throughout their life, from planning and creation through to disposal
* Location – it includes records wherever they are and covers records managed on behalf of the organisation by external service providers (Operators).

# Policy contents

[Suggested policy headings]

## Background

* Statutory and regulatory environment
* Reference to related standards and guidance
* Role of records management
* References to related policies

## Executive commitment

[insert policy mandate, strategic commitment etc]

## Roles and Responsibilities

[define possible roles for records management to include:

Records Management Manager

Records Management Stewards / functional representatives / custodians

Records Owners within each organisation unit / function e.g.

* Administration
* Corporate Affairs and Investor Relations / Communications
* Corporate Secretariat and Governance
* Environmental Management
* Finance and Taxation
* Information Technology and Infrastructure
* Insurance
* Intellectual Property
* Legal
* Logistics and Procurement
* Personnel Documents and Records
* Regulatory
* Sales, Marketing and Communication

## Records and Information Life Cycle Management

* Information Asset Register
* Record Retention Schedule
* Record Naming and Good Practice
* Record Maintenance
* Record Access Electronic
* Record Access Paper
* Record Access Other
* Record Disclosure
* Record Closure
* Record Appraisal
* Record Transfer
* Record Storage
* Record Disposal
* Inactive records management
* Business Continuity

## Records Security

[this should address the security measures in place for the protection of paper and electronic records]

### Approved storage locations

Filing cabinet (lockable)

Back-up Tapes or drives

Cloud Storage (on premise)

Data Server

Cloud Storage Off-Site (3d Party)

Document Storage Room (lockable)

Document walk in safe (lockable)

Other (to be agreed)

### Record access rules and control measures

### Destruction control measures

## Records classification system

[this should address the classification system in place for the protection of paper and electronic records, e.g.

Unrestricted

Internal use only

Confidential

High Confidential]

## Policy Implementation

# Policy Compliance

## Compliance Measurement

The <Company Name> management team will verify compliance to this policy through various methods, including but not limited to, periodic inspections, business tool reports, internal and external audits, and feedback to the policy owner.

## Exceptions

Any exception to the policy must be approved by the <Company Name> management team in advance.

## Non-Compliance

An employee found to have violated this policy may be subject to disciplinary action, up to and including termination of employment.

# Appendices

## Definitions

**Records management is defined as:**

*The field of management responsible for the efficient and systematic control of the creation, receipt, maintenance, use and disposition of records, including the processes for capturing and maintaining evidence of and information about business activities and transactions in the form of records. (*International Standard ISO 15489: 2001)

**Records management includes the following activities** (International Standard ISO 15489: 2001):

* setting policies and standards
* assigning responsibilities and authorities
* establishing and promoting procedures and guidelines
* providing a range of services relating to the management and use of records
* designing, implementing and administering specialized systems for managing records and
* integrating records management into business systems and processes

**Records are defined as** (International Standard ISO 15489: 2001):

*information created, received, and maintained as evidence and information by an organisation or person, in pursuance of legal obligations or in the transaction of business.*

**Key properties inherent in all records** is that they must possess (International Council on Archives):

* Content (i.e. information or data)
* Context (i.e. it must be possible to ascertain how it relates to other records and to the organisation which created it)
* Structure (i.e. there must be an inherent logic to the way in which the information it contains – and the metadata which is likely to define its context – are laid out and which is ultimately interpretable by the human eye)

The result of adhering to these properties should be to create records which contain the following qualities:

* Authenticity. It should be possible to identify, and preferably prove, the process which created the record and who its authorised creator was.
* Completeness. The record should contain all of the content required to act as evidence of the transaction it is documenting. This does not mean that one record must contain *everything* to which it relates; simply that it is complete in its own terms.
* Reliability. It is important that the content of the record can be relied upon as an accurate representation of the transaction it is documenting.
* Fixity. Once declared as a record its content should no longer be altered or changed in any way. It is in this way that its evidential value is preserved (by ensuring that the content of a record remains exactly as it was at creation).

Source: Attorney General’s Office Records Management Policy June 2013

## Good practice in records management

Organisations should:

* Have in place organisational arrangements that support records management – this includes the recognition of records management as a core corporate function, the allocation of clearly defined roles and responsibilities, and the provision of appropriate training;
* Have in place a records management policy covering information security, records retention, destruction and archive policies, and data protection (including data sharing) policies;
* Retain the records needed for business, regulatory, legal and accountability purposes;
* Have in place systems that enable records to be stored and retrieved as necessary;
* Know what records are held, where they are and ensure that they remain useable;
* Ensure that records are stored securely and that access to them is controlled;
* Define how long records should be kept for, and dispose of them when no longer needed;
* Ensure that records shared with other bodies or held on their behalf are managed in accordance with the code; and
* Monitor compliance with the policy
* Records management training
* Storage of records
* Security and access
* Disposal schedules

Source: ICO Section 46 Code of Practice – records management

## Appendix x: Records Management Glossary of Abbreviations and Acronyms

## Appendix x: Electronic Document Naming Convention

## Appendix x: Paper Document Naming Convention

## Appendix x: Other format Document Naming Convention

## Appendix x: Sample document and retention list

Retention Codes

|  |  |
| --- | --- |
| **Code** | **Code Definition** |
| AUD | Period an audit record is to be kept after the completion of audit |
| C | Current Calendar Year End |
| COP | Copyright proof record |
| D | Destroyed immediately |
| DIS | Period after Disposed of property |
| EOL | Retain for a specified period after End of life of system |
| EXP | Expiration or termination date, including the expiration date of a contract, patent, permit or warranty; the expiration of a confidentiality obligation; the date on which a lawsuit or dispute is concluded by a final court judgement or settlement; the date of an asset disposition; the date when a document is superseded; the termination of active employment; the abandonment of a trademark; Confirmation Date by Master of final trustee’s account |
| P | Permanent |
| RLS | Retain for a specified period for life of system |
| SUB | Submission date for evaluation of financial records |
| TA | Denotes records that must be kept for Tax Audit purposes and that, upon the expiration of the stated retention period, will require approval by the Tax Department prior to destruction |
| USE | As long as information is used + 1 |

|  |  |
| --- | --- |
| **Corporate Secretariat and Governance Record Name** | **Suggested Retention Period (Years)** |
| “Power of attorney, stop notices & similar court orders (from date person ceased to be a member)” | EXP + 15 |
| “Returns, notices, reports, statements or minutes lodged with the Registrar” | 10 |
| Accounting records of stock of brokers & carrier against shares | 5 |
| Allotment certificates | 15 |
| Allotment letters | 13 |
| Annual Financial Statements – Annual accounts, Directors report, Auditors report | 15 |
| Annual Reports | 15 |
| Annual return & supporting documents | 15 |
| Anti-avoidance, exemptions and substantial compliance | 15 |
| Applicable Statutory Documents | 15 |
| Application forms | 12 |
| Board of Directors and Board Committee Terms of Reference | P |
| Branch Register | 7 |
| Cancelled share certificate forms | 12 |
| Cancelled share or debenture certificates & balance receipts (many large transfer offices keep for only 1 year) | 3 |
| Certificate of Change of Name | P |
| Certificate of Incorporation | P |
| Certificate to Commence Business (if any) | P |
| Change of address – notification | 1 |
| Circular to shareholders | 7 |
| Claim reports & accident reports (after date of settlement) | 3 |
| Codes of Conduct | 4 |
| Compliance Certification | P |
| Copies of Accounting Records as required by the Act | 7 |
| Copies of Annual Financial Statements | 7 |
| Copies of reports presented at the Annual General Meeting of the company | 7 |
| Copies of reports presented at the Annual General Meeting of the company | 7 |
| Corporate Social Investment | 5 |
| Fraud alerts and whistle blowing | P |
| General rule for company Records: Any documents, accounts, books, writing, Records or other information that a company is required to keep in terms of the Act and other public regulation | 7 |
| Health & Safety Records | 40 |
| Investment records | 15 |
| Legal Compliance Records | P |
| Letters of indemnity for lost share certificates | 12 |
| List of members | P |
| Memorandum & Articles of Association | P |
| Memorandum of Incorporation and alterations or amendments | P |
| Minutes and resolutions of Directors’ meetings, audit committee and Directors’ committees | 7 |
| Notice and minutes of all Shareholders Meeting including: Resolutions Adopted and Documents made available to holders of securities | 7 |
| Policies and Procedures (after date of lapse) | EXP + 4 |
| Public Corporate Records | P |
| Record of Meetings | 7 |
| Record of Directors and past Directors, after the director has retired from the company | 7 |
| Records of proceedings relating to the justification of a compliant | P |
| Records relating to the appointment of directors/ auditor/ secretary/public officer and other officers | P |
| Redemption/conversion discharge forms of endorsed certificates | 12 |
| Register of Company Secretary and Auditors | P |
| Register of directors & officers | 7 |
| Registration certificate | P |
| Registrations | P |
| Regulated companies (companies to which chapter 5, part B, C and Takeover Regulations apply) - Register of disclosures of person who holds beneficial interest equal to or in excess of 5% of the securities of that class issued | P |
| Rules | P |
| Schedules & documents (after date investment sold) | 15 |
| Securities register and uncertificated securities register | P |
| Share Certificates | P |
| Share Register and other statutory registers | P |
| Share Registration Records - Paid warrants | 12 |
| Share Registration Records - Mandates (from date of receipt) | 3 |
| Share Registration Records - Payment lists | 15 |
| Share Registration Records - Unclaimed | Until cleared or forfeited whichever is earlier |
| Statutory Returns to Relevant Authorities | P |
| Transfer of marketable securities | 5 |
| Written communication to holders of securities | 7 |

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| **Finance and Taxation Record Name** | **Retention Period (Years)** |
| A person who has been notified or is aware that the Records are subject to an audit or investigation by SARS. | AUD + 5 |
| Accounting Records | 7 |
| Accounting records of Mutual Bank | 15 |
| Actual Sales | 7 |
| Actuarial valuation reports | 10 |
| All other statutory compliances | P |
| All VAT Records | 5 |
| Ancillary books of account and supporting schedules | 15 |
| Annual financial statement working papers | 4 |
| Annual financial statements | 15 |
| Asset Register | P |
| Audit reports, working papers, statements, correspondence, books or other documents in the possession or under the control of a registered | AUD + 5 |
| Auditor | AUD + 5 |
| Bank instructions | 4 |
| Bank statements and vouchers | 5 |
| Banking Records Bank Statements | 5 |
| Bills of exchange | 6 |
| Books of account and supporting schedules | 15 |
| Business Plan and Budgets | 5 |
| Capital Expenditure Records | 5 |
| Cash books | 15 |
| Cheques | 4 |
| Collective investment scheme’s accounting records | 5 |
| Consolidation schedules | 15 |
| Correspondence: · General · Accounting related · Re agreements (after date of expiry) | 5 |
| Correspondence: · Of continuing importance | P |
| Costing records | 15 |
| Creditors invoices and statements | 5 |
| Creditors ledgers | 15 |
| Debtor's ledgers | 15 |
| Debtors statements | 4 |
| Deposit slips | 4 |
| Dividend and interest payment lists (listed company) | 15 |
| Documentary proof substantiating the zero rating of supplies | SUB + 5 |
| Documents issued to employees for income tax purposes | 4 |
| Electronic banking records | 4 |
| Financial Policies and Procedures | P |
| Fixed asset register | 15 |
| General Ledger and Sub Ledgers | 15 |
| General Ledger Reconciliations | 5 |
| In respect of each employee the employer shall keep a record showing: · Amount of remuneration paid or due by him to the employee; · The amount of employees tax deducted or withheld from the remuneration paid or due; · The income tax reference number of that employee; · Any further prescribed information; · Employer Reconciliation return | SUB + 5 |
| Income tax required records | 5 |
| Income Tax Returns | 5 TA |
| Insolvent businesses | 3 |
| Insolvent estates (books and documents in possession on trustees) | EXP + 6 months |
| Journals (books & vouchers) | 15 |
| Management Reports | C + 6 TA |
| Monthly expenses | 5 |
| Objection or appeal lodged against an assessment or decision under the Tax Administration Act | AUD + 5 |
| Outstanding Tax Returns - Taxpayers who were meant to submit a return, but haven’t for that period | P until the return is submitted – then AUD + 5 |
| Paid Cheques | 5 |
| PAYE Records | 5 TA |
| Payment History | 5 TA |
| Payment Terms | 5 |
| Petty cash books | 15 |
| Petty cash vouchers | 5 |
| Purchase invoices (with supporting documentation) | 5 |
| Purchase journals (with supporting documentation) | 15 |
| Records of certain sales of property | 5 |
| Records of importation of goods and documents bill of entry, or other documents prescribed by the Custom and Excise Act; proof that the VAT charge has been paid to SARS | SUB + 5 |
| Records of payments made to SARS on behalf of employees | 5 TA |
| Records of subscriptions or levies paid by members | 5 |
| Rental Agreements | EXP + 5 |
| Risk Management and Insurance | P |
| Sales invoices (with supporting documentation) | 5 TA |
| Sales journal | 15 |
| Sales tax records (VAT records) | 15 |
| Shipping documents | 4 |
| Skills Development Levies Returns | C + 5 TA |
| Submitted Tax Returns | SUB + 5 |
| Tax Records and Returns | 5 TA |
| Tax returns and assessments | 15 |
| Taxpayers who were not required to submit a return, but had capital gains/losses or engaged in any other activity that is subject to tax or would be subject to tax but for the application of a threshold or exemption | C + 5 TA |
| Transaction Records | 5 |
| Treasury Dealing | 5 |
| UIF Returns | C + 5 |
| VAT Returns | 5 |
| Waybills | 5 |
| Where a tax invoice or credit or debit note has been issued in relation to a supply by an agent or to an agent or a bill of entry as described in the Customs and Excise Act the agent shall maintain sufficient Records to enable the name, address and Vat registration number of the principal to be ascertained. | SUB + 5 |
| Where a VAT Vendor’s basis of accounting is changed the Vendor shall prepare lists of debtors and creditors showing the amounts owing by the debtors and owing to the creditors at the end of the tax period immediately preceding the changeover period. | SUB + 5 |
| Working papers, statements, correspondence, books or other documents in the possession or under the control of a registered auditor | AUD + 3 |
| Workmen’s Compensation Returns | C + 5 |
| Year-end working papers | 5 |
| **Personnel Documents and Records Record Name** | **Retention Period (Years)** |
| Group health, life & personal accident policies (after date of final cessation of any benefit payable under policy) | 5 |
| A designated employer who employs 150 or more people must retain the employment equity plan. | EXP + 3 |
| A health and safety committee shall keep record of each recommendation made to an employer in terms of issues affecting the health of employees and of any report made to an inspector in terms of the recommendation | 3 |
| Accident books and records | 7 |
| All personal data which has become obsolete | D |
| All records of training given to an employee in terms of the lead regulation | EXP |
| Application for jobs - unsuccessful | 1 |
| Arbitration award records (CCMA, Bargaining Councils, Private Arbitrations etc) | 5 |
| Copy of Occupational Health & Safety Act where employer has more than 20 employees | P |
| CV’s, application details (after employee contract ended) | EXP + 5 |
| Date of birth of any employee under 18 years of age | 3 |
| Determination records made in respect of the Wage Act | 6 |
| Disciplinary Code and Records | P |
| Disciplinary Procedures and CCMA matters | P |
| Employee Benefit Records | EXP +5 |
| Employee Information | EXP +5 |
| Employee Relations | EXP +5 |
| Employee’s name and occupation | 3 |
| Employment Contracts | EXP +5 |
| Expense accounts | 5 |
| Forms and Applications | 5 |
| Grievance Procedure | P |
| Group HR Policies and Procedures | EXP +2 |
| Health and safety committee recommendations to employers | 3 |
| Incentives and Bonuses | 6 |
| IP assignment & confidentiality agreement with staff | EXP + 15 |
| IRP5’s | 5 TA |
| Job Profiles | EXP + 5 |
| Leave Records | EXP + 5 |
| Letters of Appointment and Employment Contracts | EXP + 6 TA |
| Maintain personal Records of each current employees in terms of names; identification numbers; monthly remuneration; and address where the employee is employed. | SUB + 5 |
| Medical records | 40 |
| Minutes of its meetings, in an original or reproduced form from the end of the financial year | 3 |
| Organisational Structures Database to be backed-up yearly | C + 7 |
| Original or reproduced form of Collective Agreements and Arbitration Award. | 3 |
| PAYE Returns | 5 TA |
| Payroll Reports | C + 6 |
| Payrolls | C + 6 |
| Pension and Retirement Funding Records | 15 |
| Performance Records | P |
| Personal Information and the purpose for which the data was collected must be kept by the person who electronically requests, collects, collates, processes or stores the information | USE + 1 |
| Personal Records | EXP + 5 |
| Personnel / staff records (from date employment ceases) | EXP + 7 |
| Record of any third party to whom the information was disclosed | USE + 1 |
| Records for each employee specifying the nature of any disciplinary transgressions, the actions taken by the employer and the reasons for the actions | P |
| Records of assessments & monitoring of hazardous chemicals (medical records included) | 30 |
| Records of assessments & monitoring of lead (medical records included) | 40 |
| Records of assessments & monitoring of Noise-induced Hearing Loss (medical records included) | 40 |
| Records of incidents reported at work (Annexure 1 of the General Administrative Regulations Occupational Health and Safety Act, 1993 (Act No. 85 Of 1993) | 3 |
| Remuneration paid to each employee | 3 |
| Remuneration Policy | EXP + 2 |
| Salary revision schedules | 7 |
| SETA Records | P |
| Skills Development | 5 |
| Staff records (after employment terminated) | 7 |
| Study Assistance Scheme/s | EXP + 5 |
| Tax returns (employee tax) | 9 |
| Time Management | 5 |
| Time records | 5 |
| Time worked by each employee | 3 |
| Training and Development | 5 |
| Training Records | 5 |
| UIF contributor’s card | EXP |
| Wage and salary records (including overtime) | 7 |
| Written particulars of employee must be kept after termination of employment. | 3 |
| **Information Technology and Infrastructure Record Name** | **Retention Period (Years)** |
| Computer System Maintenance Records: Device Management | RLS: (EOL + 3) |
| Computer System Maintenance Records: E-Mail and Voice mail | USE + 1 |
| Computer System Maintenance Records: Maintenance Plans | RLS: (EOL + 3) |
| Computer System Maintenance Records: Root Cause Analyses | C + 5 |
| Computer System Program Documentation: Call Desk Agent Schedule | 3 |
| Computer System Program Documentation: Disaster Recovery Policy and Plans | RLS: (EOL + 3) |
| Computer System Program Documentation: Equipment Specifications | USE + 1 |
| Computer System Program Documentation: Faults, Troubleshooting and Reporting | RLS: (EOL + 3) |
| Computer System Program Documentation: Hardware and Software Manuals | RLS: (EOL + 3) |
| Computer System Program Documentation: Information, Communication and Technology Policies | EXP +2 |
| Computer System Program Documentation: Operating Systems | RLS: (EOL + 3) |
| Computer System Program Documentation: Performance of Client Call Desk | RLS: (EOL + 3) |
| Computer System Program Documentation: Performance of IT Infrastructure | RLS: (EOL + 3) |
| Computer System Program Documentation: Security Access | RLS: (EOL + 3) |
| Computer System Program Documentation: System documentation and manuals | RLS: (EOL + 3) |
| Information System Planning and Development Records Internal Systems Support and Programming - Implemented Systems | RLS |
| Information System Planning and Development Records Internal Systems Support and Programming - Unimplemented Systems | 5 |
| ISAE3402 Audit Reports | AUD + 3 |
| Software Licences | EXP +2 |
| Network Topologies / Diagrams | RLS : (EOL + 3) |

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| **Intellectual Property Record Name** | **Retention Period (Years)** |
| Copyrights Agreements | P |
| Designs | P |
| Know-how | 5 |
| Original Patent, Trademark and copyright government grants | P |
| Patent agreement with staff | 5 |
| Report & opinion on patents & trademarks (after date of expiry) | EXP + 20 |
| Trademark applications | P |

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| **Corporate Affairs and Investor Relations / Communications Record Name** | **Retention Period (Years)** |
| Client Events | 3 |
| Newsletters and Publications | 5 |
| SENS releases (Prior to 24th August 2015) | P |
| Social Responsibility | P |
| Police investigations and cases | P |
| Records of Stolen Goods | P |
| Records of transactions concluded | 5 |
| Rental, hire purchase, suspensive sale (after date of expiry) | EXP + 7 |
| Subpoenas | P |

|  |  |
| --- | --- |
| **Sales, Marketing and Communication Record Name** | **Retention Period (Years)** |
| A person who conducts a promotional competition must retain   Amounts, sums, values, charges, fees or remuneration specified in monetary terms;   basis of determining the prize winners;   Contact details of public officer in case of a juristic person;   Cost to be recovered from the consumer;   declarations or affirmation that prize winners are not employees, directors, agents, or consultants who directly or indirectly controls or is controlled by the promoter or marketing service provider in respect of the promotional competition, or the spouses, life partners, business partners or immediate family members;   Frequency of accounting to the consumer;   full details, including identity or registration numbers, addresses and contact numbers of the promoter;   full list of prizes offered in promotional competition; a representative selection of materials marketing the promotional competition;   Full names, physical address, postal address and contact details;   ID number and registration number;   list of all instances when the promotional competition was marketed, including dates, medium used and places where marketing took place;   list of dates when prizes were handed over to the prize winners;   list of names and identity numbers of prize winners;   names and identity numbers of persons responsible for conducting the selection of prize winners in the promotional competition; acknowledgement of receipt,  identity number and the date of receipt of the prize by the prize winner;   reasons for prize winner not receiving or accepting the prize and steps taken by promoter to hand over the prize;   rules of promotional competition;   Service rendered; Intermediary fee;   steps taken by the promoter to contact the winner;   summary describing the proceedings to determine the winners;   Disclosure in writing of a conflict of interest by the intermediary in relevance to goods or service to be provided;   Information provided to a consumer by an intermediary;   Record of advice furnished to the consumer reflecting the basis on which the advice was given;   Register, record or reproduction of the earnings, time worked, payment for piece work and overtime and other prescribed particulars of all the employees;   Written agreement that contains the terms and conditions upon which the auctioneer accepts the goods for sale;   Written instruction sent by intermediary to the consumer;   the means by which the prize winners were announced and frequency;   copy of offer to participate in promotional competition;   names and identity numbers of persons responsible for conducting the promotional competition;   whether an independent person oversaw the determination of the prize winners; | 3 |

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| --- | --- |
| **Sales, Marketing and Communication Record Name** | **Retention Period (Years)** |
| Brand marketing & advertising material | P |
| Branding | P |
| Commission | 5 |
| External Publications | 5 |
| Marketing Brochures | P |
| Media and Advertising | P |
| Point of Sale (POS) | EXP + 5 |
| Press releases / Communique | 5 |
| Print & audio visual advertisements | COP + 50 |
| Products and Services Brochures | P |
| Proposals and Tenders | 5 |

|  |  |
| --- | --- |
| **Business Interactions with other entities Record Name** | **Retention Period (Years)** |
| Customer Contracts (after expiry of contract) | 5 |
| Customer Credit vetting | 5 |
| Customer Satisfaction (after expiry of contract) | 5 |
| Service Level Agreements | EXP + 5 |

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| **Insurance Record Name** | **Retention Period (Years)** |
| Insurance Claim Files People | P |
| Insurance Claim Files Vehicles | C + 1 |
| Insurance Policies | EXP +2 |

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| **Environmental Record Name** | **Retention Period (Years)** |
| Impact Assessment | 5 |
| Standards | EXP + 4 |

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| --- | --- |
| **Regulatory Record Name** | **Retention Period (Years)** |
| Applications | 12 |
| Exemptions | 12 |
| Maintenance Records | C + 5 |
| Permits (Current Permit plus 2 prior permits) | C + 5 TA |
| Records of disposal of equipment | 5 TA |
| Records of non-compliance with the act & reasons | 5 |
| Submissions | P |
| **Logistics and Procurement Record Name** | **Retention Period (Years)** |
| Customer Orders and Delivery Notes | 5 |
| Goods received notes | 5 |
| Inspection | 5 |
| Procurement Policy | EXP + 4 |
| Purchase orders | 5 |
| Railage and shipping documents | 5 |
| Receipts | 5 |
| Standard Terms and Conditions of Supply of Services, Products and Software | EXP + 5 |
| Statements of Work | EXP + 5 |
| Stock records and supporting schedules | 15 |
| Stock sheets | 5 |
| Supplier and Contractor Agreements | EXP + 5 |
| Suppliers and Manufacturers Details | C + 3 |
| Tender Documentation | 3 |

|  |  |
| --- | --- |
| **Administrative Record Name** | **Retention Period (Years)** |
| Correspondence with internal and external parties | 5 |
|  | |

## Sources

This document is based on material available from several sources including:

* UK National Archives <https://www.archives.gov/records-mgmt/policy/>
* UK Information Commissioner’s Office [www.ico.org.uk](http://www.ico.org.uk)
* UK National Health Service [https://www.england.**nhs**.uk/wp-content/.../rec-man-pol.pdf](https://www.england.nhs.uk/wp-content/.../rec-man-pol.pdf)
* SA National Archives <https://www.nationalarchives.gov.za/>
* UK Attorney General’s Office <https://www.gov.uk/government/publications/records-management-policy>