

**The Education University of Hong Kong Library
University Archives**

**General Records Retention Schedule
(May be customised for individual departments and offices)**

Records are documents created and received by an individual or an organisation in the course of official activities and subsequently kept and managed by that individual and organisation as evidence of a particular activity or function. The nature of business of EdUHK is education and EdUHK's records are therefore broadly categorised into administrative and academic records. Administrative records are those records of housekeeping nature covering personnel, finance, building management, procurement, internal administration, etc. Academic records are those functional or operational records characterised by their unique nature with regard to the academic activities of the creating faculty, department, office or centre.

In-active records which are of historical value to the history and development of EdUHK will be collected and preserved by EdUHK Archives permanently. The following general records retention schedule is compiled to provide guidelines for EdUHK units to manage their records in terms of classification, retention period and disposal based on the common functions of the University. Unless otherwise stated, the documents mentioned below are all master copies. The subjects in the schedule below are by no means exhaustive. Regular update or review will be made to ensure that they are in tune with the University's development and functions. For all other subjects not listed below, please contact EdUHK Archives for further advice.

A. Administrative Records

Agreements and Contracts (non- research)

Description	Retention Period	Final Disposition
Signed agreements and contracts with other institutions by designated representatives of the University including signed contracts, legal agreements, terms and conditions, amendments, addenda, contract variations, review documentation and related correspondence.	12 years after expiration or termination of contract, and all conditions satisfied.	T

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Architectural Drawings

Description	Retention Period	Final Disposition
Technical drawings including working drawings of campus, campus buildings and other facilities.	1 year after completion of project.	T

Appreciation / Complaints /Invitations

Description	Retention Period	Final Disposition
Records related to appreciation and complaints of a general nature, e.g. invitations, congratulatory notes, apologies, condolences and letters of acknowledgement.	2 years after last action or complaints resolved.	N

Artefacts and 3D Objects

Description	Retention Period	Final Disposition
Objects related to the history and development of the unit/University.	P	May invite Museum Curator for appraisal and disposition in the Museum.

Audiovisual Materials

Description	Retention Period	Final Disposition
University activities or events including photographs, all kinds of audiovisual recordings of major events such as congregations, scholarly presentations, Open Day, Information Day, etc.	5 years	Transfer to EdUHK Archives when no longer in use for final appraisal and disposition.
Departmental activities recording significant events.	5 years	Transfer to EdUHK Archives when no longer in use for final appraisal and disposition.

Circulars and Memos

Description	Retention Period	Final Disposition
Financial circulars and memos by FO outlining the University's policies on financial matters.	5 years until superseded.	Send copies of circulars to EdUHK Archives for permanent retention at the time of creation.

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Personnel circulars and memos by HRO outlining the University's policies on personnel matters.	5 years until superseded.	Send copies of circulars to EdUHK Archives for permanent retention at the time of creation.
Miscellaneous policy circulars and memos (e.g. from P's office) stating or explaining an official policy or procedures of the University or a specific department or office.	7 years	Send copies of circulars to EdUHK Archives for permanent retention at the time of creation.
Other routine circulars and memos e.g. change of opening hours of the Library.	3 years	N

Council Records

Description	Retention Period	Final Disposition
Council Meetings including agendas, minutes, papers, correspondence and other materials documenting the meetings of the Council.	P	Send paper records of early years to EdUHK Archives for permanent retention.
Council Committees including agendas, minutes, papers, correspondence and other materials documenting the work of the committees.	7 years or until the dissolution of the committee.	T

Remarks: Council or its committees documents received and kept by departments can be destroyed in 3 years or as decided by individual units.

Departmental and Committee Meeting Records

Description	Retention Period	Final Disposition
Records related to internal communications or with other units in the form of any departmental or task force meetings (e.g. Departmental Management Committee) including correspondence, agendas, notices, reports, minutes of meeting, etc.	5 years	T But D for any staff meeting records.

Development Plans of the Unit (following the University's Strategic Planning)

Description	Retention Period	Final Disposition
Records related to the development and implementation of the development plans of individual units, e.g. statement of objectives	7 years after last action.	T

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and goals, consultation documentation, action plans and performance indicators.		
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Estates and Facility Management

Description	Retention Period	Final Disposition
Records related to estates and facility management of major construction works of offices and facilities including reports on major incidents or disasters.	7 years	T

External and Overseas Visits

Description	Retention Period	Final Disposition
Correspondence with external parties.	7 years	T
Souvenirs received: certificates, objects, pennants, etc.	Decided by individual units based on University's guidelines.	N

Finance

Description	Retention Period	Final Disposition
Records including approval documents from grant authorities (e.g. UGC/RGC), audit reports or reports prepared on financial procedures and other matters requested by FO and Internal Auditor of the University.	7 years	T
Budget records including all materials concerning the process of budget creation such as budget estimates and proposals, draft budgets, final budgets and related notes and memoranda	7 years	Transfer one copy of the final budget for each year to EdUHK Archives for permanent retention.
Bills and invoices, purchase orders, salary reviews, petty cash records, ledgers, receipts and related records	Follow FO's guidelines.	N

Forms

Description	Retention Period	Final Disposition
Blank forms for inter-departmental or external transactions (e.g. job application forms)	3 years until superseded.	Send one copy to EdUHK Archives at the time of creation or revision.

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Historical Matters

Description	Retention Period	Final Disposition
Records related to the University / unit's development, history and activities of significance.	7 years	T

Human Resources

Description	Retention Period	Final Disposition
Records related to academic staff and visiting scholars.	7 years	T
Policies and procedures.	7 years	Transfer endorsed copies to EdUHK Archives.
Application materials including forms, reference letters and resumes for academic or senior administrative positions.	Follow HRO's guidelines.	N
Performance appraisals.	Follow HRO's guidelines.	N
Recruitment matters including appointments and notifications.	Follow HRO's guidelines.	N
Student internship.	7 years	N

Inquiries

Description	Retention Period	Final Disposition
Records related to general inquiries about the operation, projects, programmes or activities of the University / unit.	2 years after last action.	D

Institutional / Major Events

Description	Retention Period	Final Disposition
Records documenting major activities or events at institutional level, e.g. Congregation, Open Day, Information Day, etc.	3 years	T

Publications and Promotional Materials

Description	Retention Period	Final Disposition
University publications bearing the name of EdUHK including newsletters, annual reports, academic calendar, congregation programmes, etc.	Retain sample copies for 7 years.	Send electronic copy (if applicable) and 3 print copies to Library at the time of publication.

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		Transfer original proved copy to EdUHK Archives for appraisal and disposal.
Departmental publications including all printed materials such as newsletters, brochures, posters, etc.	7 years	Send electronic copy (if applicable) and 3 print copies to Library at the time of publication. Transfer original proved copy to EdUHK Archives for appraisal and disposal.
Books and articles.	Follow Library's guidelines.	N
Press releases.	7 years	Send electronic copy to EdUHK Archives at the time of distribution.

Records of Senior Administrators (at the rank of department head or above)

Description	Retention Period	Final Disposition
Non-routine correspondence including letters, memos and emails related to major research projects, curriculum development, departmental or university policies and procedures, relations with outside institutions, other significant University projects or activities, etc.	7 years	T
Routine correspondence of a general housekeeping nature in the daily operation of an office.	3 years	N

Strategic Planning

Description	Retention Period	Final Disposition
Records related to the development and implementation of the University's Strategic Plan, e.g. vision and mission statements, SWOT analyses, consultation documentation, action plans, performance indicators, etc.	7 years after last action.	T

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Student Societies and Clubs

Description	Retention Period	Final Disposition
Committee records, letters of appointments, meeting minutes.	3 years	T
Photographs from events and activities.	3 years	T

University Organisation and Structure

Description	Retention Period	Final Disposition
Records related to the definition and evolution of the organisational structure of the University, e.g. organisation charts, documents outlining capacities and responsibilities, related correspondence, etc.	Until superseded.	T

B. Academic Records

Academic Board Records

Description	Retention Period	Final Disposition
Academic Board Meetings including agendas, minutes, papers, correspondence and other materials documenting the meetings of the Academic Board.	P	Send paper records of early years to EdUHK Archives for permanent retention.
Academic Board Committees including agendas, minutes, papers, correspondence and other materials documenting the work of the committees.	7 years or until the dissolution of the committee.	T

Remarks: Academic Board or its committees documents received and kept by departments can be destroyed in 3 years or as decided by individual units.

Alumni Relations

Description	Retention Period	Final Disposition
Alumni directories and newsletters	P	N

Common Data Collection Format (CDCF) Submissions

Description	Retention Period	Final Disposition
Records and correspondence related to CDCF submissions requested by UGC.	P	N

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Conferences and Workshops

Description	Retention Period	Final Disposition
Records related to the organisation of conferences, seminars or workshops sponsored by EdUHK, e.g. brochures, schedules, proceedings, financial, traveling and accommodation arrangements, and other materials.	3 years	T Send a copy of the proceedings (if applicable) to the Library for permanent retention at the time of distribution.

Faculty Boards or Board of Graduate School Records

Description	Retention Period	Final Disposition
Agendas, minutes, correspondence, papers, reports and other materials documenting the activities and recommendations of Faculty Boards or BGS.	7 years	T

Remarks: Faculty Board or Board of Graduate School documents received and kept by departments can be destroyed in 3 years or as decided by individual units.

Programmes and Curriculum Development

Description	Retention Period	Final Disposition
Academic plans, reports or records showing changes of academic programmes.	7 years	T
Files, slides of presentations and audio-visual materials of course materials.	7 years	N
Assessments, validation and re-validation documents including executive or summary reports, observations and comments.	P	Send electronic copies of summary reports to EdUHK Archives at the time of creation and a sample will be selected for permanent retention. After 7 years, individual departments may designate selected programme submissions as historically significant and send the records to EdUHK Archives for permanent retention if the

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		programme reflects a major change in the department's development.
Records related to internal and external reviews of academic programmes, administrative units, university initiatives or services, e.g. background materials, satisfaction surveys, comparison with other institutions, recommendation reports, other correspondence, etc.	7 years	T
Master course schedules including course descriptions, class schedule, names of teaching staff, course quota, etc.	P	N
Examination questions.	3 years	Transfer a set of examination questions to EdUHK Archives for final appraisal and disposition.
Summary reports of course evaluations by students.	7 years	Send summary reports to EdUHK Archives for appraisal and disposition and a sample will be selected for permanent retention.

Quality Audits

Description	Retention Period	Final Disposition
Records related to internal and external quality audits on the University's affairs including governance, management, operational efficiency, compliance with legislations and regulations, teaching and learning, quality assurance and enhancement, e.g. "start letter", notes on site visits, audit questionnaires, institutional submission, comments, etc.	10 years (after two audit periods)	T

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Research and Development

Description	Retention Period	Final Disposition
Grant applications including proposals, applications and research materials.	1 year after completion of project.	T
Outstanding performance and other awards including photographs of events, letters of recommendation, announcements, etc.	3 years	T

Student Records

Description	Retention Period	Final Disposition
Admissions documents	Follow REG's guidelines.	N
Assessment records	P	N
Disciplinary cases	P	N
Enrolment	Follow REG's guidelines.	N
Graduation records	P	N
Student surveys	5 years	Send an electronic copy to EdUHK Archives for appraisal and disposition.
Theses and dissertations	P Follow Library's guidelines on submission of electronic theses.	N
Transcripts	P	N

Student Exchange Programmes

Description	Retention Period	Final Disposition
Correspondence with external parties and signed agreements.	7 years	T

Student Scholarship and Fellowship

Description	Retention Period	Final Disposition
Application forms	7 years	N
Correspondence with sponsoring bodies including approval documents.	7 years	T

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C. Records after Appraisal by EdUHK Archives

Records sent to EdUHK Archives for appraisal and disposition will have the following results:

1. Records appraised as having archival value will be kept at EdUHK Archives permanently.
2. Records appraised as not having archival value for keeping will be destroyed accordingly.
3. Records appraised as having archival value for keeping but containing sensitive or confidential data will be sent back to the Office of Origin for permanent retention.

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